



Long Range Plan for Automation in the Federal Judiciary

Fiscal Year 1994 Update

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LONG RANGE PLAN FOR AUTOMATION IN THE FEDERAL JUDICIARY

Fiscal Year 1994 Update

Executive Summary

**PART A: Information Resources Management Strategic Plan for Automation
in the Federal Judiciary**

PART B: Functional Strategy Statements

EXECUTIVE SUMMARY LONG RANGE PLAN FOR AUTOMATION IN THE FEDERAL JUDICIARY

Fiscal Year 1994 Update

The Long Range Plan for Automation in the Federal Judiciary (Long Range Plan) is comprised of two parts: Part A contains the Information Resources Management Strategic Plan for Automation in the Federal Judiciary (Judiciary IRM Strategic Plan), and Part B contains functional strategy statements. The purpose of the Judiciary IRM Strategic Plan is to communicate the national policies and priorities of the judiciary's automation program as approved by the Judicial Conference of the United States upon recommendation by the Director of the Administrative Office of the U.S. Courts (Director) and the Judicial Conference Committee on Automation and Technology (Committee). The Judiciary IRM Strategic Plan states the IRM mission and contains an IRM strategy statement and major goals and objectives. Functional strategy statements communicate five-year IRM strategies for major functional areas of the automation program. They provide linkage between the IRM Strategic Plan and the annual product updates¹.

The Judiciary IRM Strategic Plan was prepared in coordination with the Committee on Automation and Technology's Subcommittee on the Long Range Plan. The Umbrella Groups and the Director's Automation Planning Council were also consulted and asked to identify issues and concerns arising from their preparation of the functional strategy statements. The role of these two bodies is to provide recommendations to the Director who, in turn, supports the role of the Committee as the body recommending policy for automation in the judiciary to the Judicial Conference. Cross-functional coordination, consultation, clarification, and consensus-building with, between and among the Director's Automation Planning Council, Umbrella Groups and members of the Subcommittee was facilitated by the Automation Planning and Policy Formulation Office. The functional strategy statements for each Umbrella Group were prepared by that Umbrella Group with the participation of judges who expressed an interest in their development.

IRM MISSION AND STRATEGY

The Long Range Plan supports the overall mission of the judiciary to resolve expeditiously and equitably cases and controversies brought before the Federal courts. The IRM mission of the judiciary is to implement the automation program in the courts and the Administrative

¹Published as a separate volume, annual product updates are supporting operational documents concerned with the management of a single information resource management activity. Although the annual product updates do not themselves constitute authority to proceed with a project or spend funds, they support the implementation of the Long Range Plan.

Office in a manner that utilizes human resources, information management, and information technology to the best advantage of the judiciary.

To accomplish the judiciary's IRM mission, the Director, under the supervision and direction of the Judicial Conference, has adopted a strategy for managing the automation program that includes the following objectives of the IRM program:

- ensuring that information resources directly support missions and goals of the Judicial Conference, the Director, and the various judiciary-wide programs;
- ensuring that IRM goals, strategies, plans, policies, and requirements support judiciary missions;
- meeting the needs of the users of information resources in an efficient, effective, and economical manner;
- complying with government-wide and judiciary information management policies, principles, and standards; and
- ensuring a high degree of court user involvement in automation management and decision-making.

IRM GOALS

Several IRM goals have been identified by the Committee for each of the three fundamental areas of the automation program: human resources, information management, and information technology. IRM goals reflect long-term results that support the judiciary's IRM mission. Objectives in support of these IRM goals have been developed and have measurable results that are capable of being accomplished over the next five years (or are capable of being accomplished on an ongoing basis), assuming the availability of adequate resources.

Human Resources Goals

Human resources refers to the users and providers of services necessary to carry out the automation program in the judiciary. The following human resources goals have been identified in the Judiciary IRM Strategic Plan:

- Provide adequate IRM education and training for judges, court managers, users, and providers of service in the judiciary so that automation can assist in their doing their jobs.
- Promote responsiveness to the user in the judiciary.

Information Management Goals

Information management is the overall management and control of automated information including identifying and sharing of management information needs; ensuring adequate standardization, control, security, integrity, and privacy of data stored, accessed, or manipulated; and establishing and implementing appropriate policies and procedures to ensure proper automated and electronic records management activities and to provide sufficient data accessibility for purposes of public access and statistical aggregation. The following information management goals have been identified in the Judiciary IRM Strategic Plan:

- Provide and use timely and accurate information while ensuring security and data integrity to support the mission and goals of the judiciary.
- Foster creative partnerships and efficient and effective cooperation, coordination, consensus building, and communication among all judiciary components as well as with other government agencies, the public sector, and the vendor community.
- Implement an effective automation planning process to include proper management of the generation, collection, storage, dissemination, use, and security of critical automated information.

Information Technology Goals

Information technology includes technical resources (hardware and software) such as automatic data processing, telecommunications, and office information systems used to address problems in information handling, use, processing, storage, and management. The following information technology goals have been identified in the Judiciary IRM Strategic Plan:

- Provide a cost-effective, efficient, flexible, and secure information technology environment that is easy to use and maintain and that will improve program services delivery through automation.
- Provide an information technology environment which includes backup for continuity of operations and security.
- Support an information technology environment that relies on an established judiciary-wide architecture and appropriate data standards.

FUNCTIONAL STRATEGY STATEMENTS

The functional strategy statements for each Umbrella Group (Administration and Human Resources; Appellate Case Management and Statistics; Bankruptcy Case Management and Statistics; Chambers, Courtrooms, Libraries; District Case Management and Statistics; Financial Systems; Office Automation and Networks; Probation and Pretrial Services Case Management and Statistics; and Support and Education) were prepared by that Umbrella Group with the assistance of judges who expressed an interest in participating in their development.

The functional strategy statements that constitute Part B of the Long Range Plan describe strengths, problems, opportunities, and courses of action for each major functional area. In developing their individual functional strategy statements, the Umbrella Groups identified the following emerging cross-functional concerns. Umbrella Groups have not yet resolved the best way to handle important cross-functional concerns but are working on strategies to address this problem.

- *Training:* The judiciary needs an ongoing, equally dispersed training program that includes education in emerging technologies as well as education on the potential benefits of automation.
- *Funding:* Automation funding is inadequate and uncertain. Priorities and guidelines for allocating funds within the automation program have not been clearly articulated.
- *DCN/Connectivity:* Insufficient funding has led to delays in implementing the data communications network; to defer wiring of courtrooms; and to a lack of resources for installing and operating the network. Consistency of hardware and software is needed to ensure integration while maintaining the flexibility of a modular system.
- *Architecture:* The judiciary requires a comprehensive and clearly defined architecture to guide the development of the next generation of integrated automated case management systems.
- *Data Standards:* The lack of consistent and comprehensive data standards inhibits information-sharing and management efficiency and minimizes the effectiveness of court unit automation resources.
- *Support:* Differing levels of automation support may require a re-evaluation of resources to reallocate them more equitably.

PART A
INFORMATION RESOURCES MANAGEMENT
STRATEGIC PLAN FOR AUTOMATION
IN THE FEDERAL JUDICIARY
FISCAL YEAR 1994 - FISCAL YEAR 1998

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INFORMATION RESOURCES MANAGEMENT STRATEGIC PLAN FOR AUTOMATION IN THE FEDERAL JUDICIARY

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INFORMATION RESOURCES MANAGEMENT STRATEGIC PLAN FOR AUTOMATION IN THE FEDERAL JUDICIARY

SECTION 1

INTRODUCTION TO THE IRM STRATEGIC PLAN FOR AUTOMATION IN THE FEDERAL JUDICIARY

1.1 Purpose of the Judiciary IRM Strategic Plan

The Information Resources Management Strategic Plan for Automation in the Federal Judiciary (Judiciary IRM Strategic Plan) constitutes Part A of the Long Range Plan for Automation in the Federal Judiciary (Long Range Plan). The purpose of the Judiciary IRM Strategic Plan is to communicate the national policies and priorities of the judiciary's automation program as approved by the Judicial Conference of the United States upon recommendation by the Director of the Administrative Office of the U.S. Courts (Director) and the Judicial Conference Committee on Automation and Technology (Committee). The Judiciary IRM Strategic Plan states the IRM mission and contains an IRM strategy statement and major goals and objectives. The IRM mission, IRM strategy statement, and major IRM goals and objectives articulated in the Judiciary IRM Strategic Plan support the overall mission of the judiciary.

The Judiciary IRM Strategic Plan emphasizes the continuing need for a unified approach to automation planning and relies extensively on building effective partnerships in meeting the needs of users while remaining sensitive to the unique culture of the judiciary. It highlights the increasing information resources needs of users and fosters a new awareness of existing information management voids within the judiciary. While the Judicial Conference encourages individual initiative, innovation and creativity in the automation program, it recognizes that the success of a unified approach to automation planning requires that all functional strategy statements, annual product updates, automation budget requests, and automation spending plans must be consistent with and support the Judiciary IRM Strategic Plan which, in turn, must be consistent with and support the mission of the judiciary.

1.2 Scope of the Judiciary IRM Strategic Plan

The Judiciary IRM Strategic Plan encompasses all current and future automation activities under the jurisdiction of the Committee and for those organizational entities of the judiciary for which the Director has procurement authority.

1.3 Definitions

1.3.1 Information Resources Management

Information resources management (IRM) means the planning, budgeting, organizing, directing, training, promoting, controlling, and management activities associated with the burden, collection, creation, use, and dissemination of information by agencies, and includes the management of information and related resources such as Federal information processing resources (44 U.S.C. § 3502(13)).

1.3.2 Life-Cycle Management

Life-cycle management addresses the inherent evolutionary nature of projects, a flexible framework for project definition and planning consistent with the strategy, and a set of tools for project execution and control. The objective of life-cycle management is to improve the management and execution of projects and increases the likelihood of success. There are six phases in the project management process.

1.3.3 IRM Strategic Plan

An IRM Strategic Plan is a document that articulates an organization-wide strategy to guide overall information resources management policy and budget decisions. It communicates and describes all current and anticipated IRM plans for a five-year period and is updated annually.

1.3.4 Functional Strategy Statements

Functional strategy statements communicate five-year IRM strategies for major functional areas of the automation program. They provide a linkage between overall organization-wide strategy in the IRM Strategic Plan and individual activities contained in the annual product updates.

1.3.5 Annual Product Updates

Annual product updates (formerly known as tactical plans) are supporting operational documents that provide for the identification, scheduling, management, and control of tasks required to accomplish activities identified in the IRM Strategic Plan. They are concerned with the management of a single information resource management activity which may be scheduled for a period greater than one year.

1.4 Strategic Planning Relationships in the Long Range Plan

At its June 1993 meeting, the Committee was presented with the format and development schedule for the fiscal year 1994 update of the Long Range Plan. This format is consistent with the new management structure for IRM described in section 4.2.2 (see page 16). As shown in Figure 1, the fiscal year 1994 update is comprised of two parts: the Judiciary IRM Strategic Plan and Functional Strategy Statements. The Judiciary IRM Strategic Plan communicates national policies, goals, objectives, and priorities of the automation program. The functional strategy statements which follow contain IRM strategies for major functional areas of the automation program. They provide linkage between the Judiciary IRM Strategic Plan and the annual product updates. The annual product updates are published as a separate volume. The updates are approved by the Director. Although the annual product updates do not constitute authority to proceed with a project or spend funds, they support the implementation of the Long Range Plan.

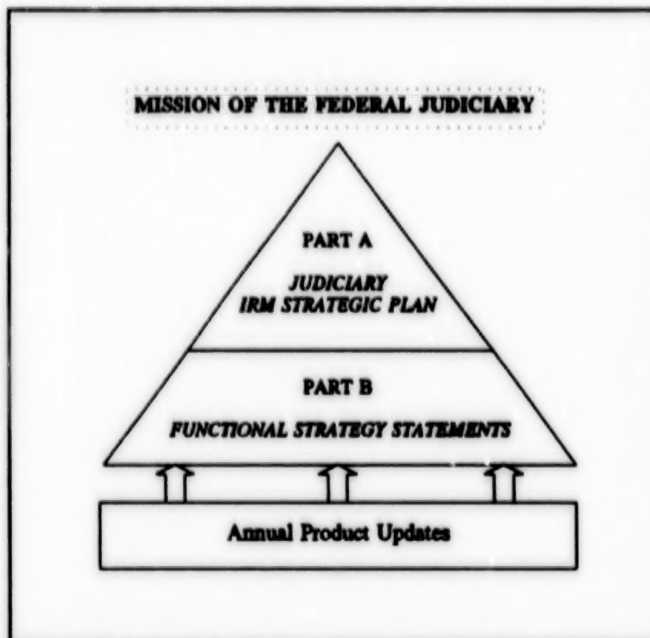


FIGURE 1 Annual product updates support the implementation of the Long Range Plan for Automation in the Federal Judiciary, which in turn points to and supports the mission of the Federal Judiciary.

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SECTION 2

DEVELOPMENT OF THE LONG RANGE PLAN

2.1 Requirement for the Long Range Plan

Pursuant to 28 U.S.C. § 612, the Director is responsible for preparing and annually revising with the approval of the Judicial Conference the Long Range Plan. Responsibility for preparing the Long Range Plan has been delegated by the Director to the Assistant Director for Automation and Technology, who serves as Secretary to the Committee on Automation and Technology. Responsibility for coordinating the preparation of the Long Range Plan has been redelegated by the Assistant Director to the Chief of the Automation Planning and Policy Formulation Office, who serves as plan manager.

2.2 Annual Updates of the Long Range Plan

The fiscal year updates to the Long Range Plan are approved by the Judicial Conference upon recommendation by the Committee. The Committee has formed a Subcommittee on the Long Range Plan to provide guidance in the development of annual updates. Upon approval by the Judicial Conference, the annual update of the Long Range Plan, along with the accompanying annual product updates, is transmitted to Congress by the Director.

2.3 Authors of the Fiscal Year 1994 Update to the Long Range Plan

The Judiciary IRM Strategic Plan was written by staff in the Automation Planning and Policy Formulation Office in coordination with the Committee's Subcommittee on the Long Range Plan, the Umbrella Groups (see section 4.2.2.1), and the Director's Automation Planning Council (see section 4.2.2.2) to reflect the automation policies and priorities of the Judicial Conference as recommended by the Committee and the Director. The functional strategy statements for each Umbrella Group (Administration and Human Resources; Appellate Case Management and Statistics; Bankruptcy Case Management and Statistics; Chambers, Courtrooms, Libraries; District Case Management and Statistics; Financial Systems; Office Automation and Networks; Probation and Pretrial Services Case Management and Statistics; and Support and Education) were prepared by that Umbrella Group with the participation of judges who expressed an interest in their development.

2.4 Participation by Judges and Court Managers in the Long Range Plan

As in recent years, the Subcommittee on the Long Range Plan requested that the fiscal year 1994 update of the Long Range Plan include participation by judges and court managers.

2.4.1 Judiciary IRM Strategic Plan

The Judiciary IRM Strategic Plan was prepared in coordination with the Subcommittee on the Long Range Plan. The Umbrella Groups and the Director's Automation Planning Council were also consulted and asked to identify issues and concerns arising from their preparation of the functional strategy statements. Cross-functional coordination, consultation, clarification, and consensus-building with, between and among the Director's Automation Planning Council, Umbrella Groups and members of the Subcommittee was facilitated by the Automation Planning and Policy Formulation Office.

2.4.2 Functional Strategy Statements

Umbrella Groups were asked to ensure maximum participation by judges in developing the functional strategy statements for the fiscal year 1994 update to the Long Range Plan. To this end, at its April meeting, the Director's Automation Planning Council discussed options for assuring judges' participation. Following the recommendations of the Director's Automation Planning Council, the Director sent a memorandum to all United States judges inviting them to participate in the development of these statements for the fiscal year 1994 update. The names of respondents were provided to the chairs of the Umbrella Groups so that they could contact the interested judges.

2.5 Methodology for Updating the Long Range Plan

In preparing the fiscal year 1994 update of the Judiciary IRM Strategic Plan and in providing direction to others in preparing their parts of the Long Range Plan, the Automation Planning and Policy Formulation Office relied on advice and direction from the Subcommittee on the Long Range Plan, the Umbrella Groups, the Director's Automation Planning Council, planning elements contained in the General Services Administration's Strategic IRM Planning Handbook and on private sector planning processes.

The Judiciary IRM Strategic Plan examines the three fundamental areas of automation — human resources, information management, and information technology — in terms of *strengths, weaknesses, opportunities, and threats* to the judiciary. This methodology provides a clear, focused picture of where the courts have been successful in introducing automation (strengths); where problem areas are remaining (weaknesses); what is required to realize and take best advantage of human resources, information management, and information technology (opportunities); and the impact of not going forward with the activities enumerated in the Judiciary IRM Strategic Plan (threats).

SECTION 3

IRM MISSION, STRATEGY, GOALS AND OBJECTIVES

3.1 The Judiciary's IRM Mission

The IRM mission of the judiciary is to implement the automation program in the courts and the Administrative Office in a manner that utilizes human resources, information management, and information technology to the best advantage of the judiciary in support of its mission to resolve expeditiously and equitably cases and controversies brought before the Federal courts.

3.2 The Director's IRM Strategy

To accomplish the judiciary's IRM mission, the Director, under the supervision and direction of the Judicial Conference, has adopted a strategy for managing the automation program that includes the following objectives of the IRM program:

- ensuring that information resources directly support missions and goals of the Judicial Conference, the Director, and the various judiciary-wide programs;
- ensuring that IRM goals, strategies, plans, policies, and requirements support judiciary missions;
- meeting the needs of the users of information resources in an efficient, effective, and economical manner;
- complying with government-wide and judiciary information management policies, principles, and standards; and
- ensuring a high degree of court user involvement in automation management and decision-making.

3.3 Emerging Cross-Functional Concerns

In developing their functional strategy statements, the following emerging cross-functional concerns were identified by the Umbrella Groups. Umbrella Groups have not yet resolved the best way to handle important cross-functional concerns but are working on strategies to address this problem.

- **Training:** The judiciary needs an ongoing, equally dispersed training program that includes education in emerging technologies as well as education on the potential benefits of automation.
- **Funding:** Automation funding is inadequate and uncertain. Priorities and guidelines for allocating funds within the automation program have not been clearly articulated.
- **DCN/Connectivity:** Insufficient funding has led to delays in implementing the data communications network; to defer wiring of courtrooms; and to a lack of resources for installing and operating the network. Consistency of hardware and software is needed to ensure integration while maintaining the flexibility of a modular system.
- **Architecture:** The judiciary requires a comprehensive and clearly defined architecture to guide the development of the next generation of integrated automated case management systems.
- **Data Standards:** The lack of consistent and comprehensive data standards inhibits information-sharing and management efficiency and minimizes the effectiveness of court unit automation resources.
- **Support:** Differing levels of automation support may require a re-evaluation of resources to reallocate them more equitably.

The IRM goals and objectives established in the Judiciary IRM Strategic Plan address these concerns.

3.4 IRM Goals and Objectives

The following IRM goals have been identified by the Committee for each of the three fundamental areas of the automation program (i.e., human resources, information management, and information technology). These goals reflect long-term results that support the judiciary's IRM mission and address the six emerging cross-functional concerns identified in the functional strategy statements. The objectives supporting these goals have measurable results that are capable of being accomplished over the next five years (or are capable of being accomplished on an ongoing basis), assuming the availability of adequate funding and resources.

3.4.1 Human Resources

GOAL 1: Provide adequate IRM education and training for judges, court managers, users, and providers of service in the judiciary so that automation can assist in their doing their jobs.

OBJECTIVE 1: Support IRM education and training efforts for judges to ensure they recognize the benefits and potential of automation and know how to operate and use the applications available to them in their chambers.

OBJECTIVE 2: Support IRM education and training efforts directed to all judiciary employees to ensure they know how to operate and use the software and hardware installed in their courts and offices.

GOAL 2: Promote responsiveness to the user in the judiciary.

OBJECTIVE 1: Support an IRM environment that is consistent with the decision of the Director to decentralize most administrative functions, including the day-to-day operation of automation systems, to the courts.

OBJECTIVE 2: Improve the quality and user-friendliness of automation systems provided to users by increasing user involvement throughout the development process.

OBJECTIVE 3: Attract, develop, and retain qualified individuals to support the judiciary's automation program.

OBJECTIVE 4: Be sensitive to and plan for ergonomic and other special needs of the judiciary's employees.

3.4.2 Information Management

GOAL 1: Provide and use timely and accurate information while ensuring security and data integrity to support the mission and goals of the judiciary.

OBJECTIVE 1: Increase the timeliness, accuracy, security, and integrity of automated information provided to users so that they are better able to accomplish the mission of the judiciary.

OBJECTIVE 2: Achieve the integration and interoperability of automated systems so that users are better able to accomplish the mission of the judiciary.

OBJECTIVE 3: Continue to develop and implement automation security guidance for use by the Administrative Office and the courts.

OBJECTIVE 4: Implement improvements in the way the judiciary manages its textual, microform, and audiovisual and electronic records.

GOAL 2: Foster creative partnerships and efficient and effective cooperation, coordination, consensus building, and communication among all judiciary components as well as with other government agencies, the public sector, and the vendor community.

OBJECTIVE 1: Establish effective channels of communication and coordination between the users in the courts and the providers of service at the Administrative Office, and promote informal channels of cooperation and consensus building.

OBJECTIVE 2: Provide for interconnectivity between operational systems so that authorized users can have access to relevant information.

OBJECTIVE 3: Ensure that electronic media as a means for information exchange is available to those who require it.

OBJECTIVE 4: Provide audit trails that track the source and date of changes to information and that store prior versions of the information for a limited time.

OBJECTIVE 5: Encourage accurate entry and updating of information by those employees who work with the information and who can best assess the accuracy and relevance of the information.

GOAL 3: Implement an effective automation planning process to include proper management of the generation, collection, storage, dissemination, use, and security of critical automated information.

OBJECTIVE 1: Continually refine an annual IRM plan to reflect the management of automation activities throughout the judiciary.

OBJECTIVE 2: Implement and maintain an effective strategic IRM planning process that results in the use of plans as a basis for the budgeting process.

3.4.3 Information Technology

GOAL 1: Provide a cost-effective, efficient, flexible, and secure information technology environment that is easy to use and maintain and that will improve program services delivery through automation.

OBJECTIVE 1: Reduce the volume of paperwork that is currently a routine part of court operations through the use of advanced information technology tools.

OBJECTIVE 2: Implement user-friendly interfaces for existing applications and systems using current hardware technologies and software.

OBJECTIVE 3: Implement a fully compatible and flexible communications vehicle which provides user access to the full range of the judiciary's computing resources and critical information resources outside the judiciary.

OBJECTIVE 4: Reduce the time and cost of developing and maintaining information systems through the life-cycle management process.

OBJECTIVE 5: Provide user-friendly information systems with greater flexibility in order to incorporate evolving user requirements after implementation.

OBJECTIVE 6: Provide adequate office automation and data communications resources to all judiciary personnel.

OBJECTIVE 7: Identify, analyze, and assess the effectiveness of current and emerging advanced technology to support the judiciary's information technology users, through coordination by the Administrative Office's Technology Enhancement Office and reliance on broad user involvement in the development process.

OBJECTIVE 8: Continue testing and quality assurance activities separate from software development activities.

GOAL 2: Provide an information technology environment which includes backup for continuity of operations and security.

OBJECTIVE 1: Provide appropriate and reliable backup facilities for all systems.

OBJECTIVE 2: Identify, analyze, and assess the effectiveness of backup and security technology to support the judiciary's information technology users.

OBJECTIVE 3: Increase security awareness among the judiciary's information technology users.

OBJECTIVE 4: Develop model contingency plans applicable to small, medium, and large courts which can become the basis for effective local contingency planning.

GOAL 3: Support an information technology environment that relies on an established judiciary-wide architecture and appropriate data standards.

OBJECTIVE 1: Enable authorized users to access all information resources necessary to perform their duties through use of workstations that rely on Federal, national, industry, and international standards where they are beneficial to the judiciary.

OBJECTIVE 2: Implement communications interfaces using appropriate high-level protocols and security features.

OBJECTIVE 3: Identify, analyze, and assess the effectiveness of existing and evolving technological standards to support the

judiciary's information technology users, coordinating these efforts judiciary-wide.

3.5 Assumptions and Constraints

The Judiciary IRM Strategic Plan was developed based on the following assumptions:

- All the automation goals, objectives, strategies, and initiatives will be implemented in a manner consistent with applicable legal considerations.
- The judiciary's automation operating environment will change. Information technology, new requirements mandated by law, and other factors such as growth create an increase in the amount of information that must be stored, retrieved, and analyzed. The information systems must evolve and adapt to this changing environment.
- The judiciary's automation program will be subject to increased interest and guidance from the legislative branch of government.
- The implementation of budget decentralization and other decentralization initiatives, such as training and support, will have an impact on the automation program.
- In the event that full funding is not available for the automation program, the Committee will make recommendations to prioritize automation initiatives based on the judiciary's most critical needs. The Judicial Conference will make the ultimate decisions on prioritization.
- To satisfy their needs, users will increase requests both for development of new information systems and for changes to existing systems which will provide more timely, accurate, and efficient data to support management, decision-making, operations, and long-term needs; will assume a larger role in the definition, development, and operation of information systems; and will increase their demands for access to data owned by others and for the sharing of data across functional or organizational lines.
- The training and support demands of operational courts will continue to increase.
- The present trend toward greater reliance upon remote communications to access data will continue.
- The security of all information resources will receive increased attention.

- There will be a continuing need to provide education and training for users and providers of service.
- During the next fiscal year, automation roles and responsibilities will be refined further.

The Judiciary IRM Strategic Plan was developed based on the following constraints:

- The overall budget will remain relatively constant (or decrease) while workload will increase.
- Financial constraints will limit or preclude hiring additional personnel and may necessitate more drastic actions.
- As they are implemented, advances in technology will necessitate significant training requirements.
- As new technology is implemented, there will be periods of change and adjustment.

SECTION 4

THE JUDICIARY'S AUTOMATION POLICIES

4.1 Mission of the Judiciary

The mission of the judiciary is to resolve expeditiously and equitably cases and controversies brought before the Federal courts.

4.2 Policy Development and Management in the Judiciary

4.2.1 Judicial Conference of the United States

The Federal court system governs itself on the national level through the Judicial Conference. The Director is the Secretary of the Judicial Conference. In 1922, Congress established the Conference of Senior Circuit Judges to "serve as the principal policy-making body concerned with the administration of the United States Courts". The name of the Conference was changed in 1948 to the Judicial Conference of the United States (28 U.S.C. § 331), but the principal function of the Conference remained the same. The Judicial Conference meets twice yearly to consider policy issues affecting the Federal courts, to make recommendations to Congress on legislation affecting the judicial system, propose amendments to the Federal rules of practice and procedure, and to consider the administrative problems of the courts. The Judicial Conference also supervises the Director in the performance of his duties as administrative officer of the Federal courts under 28 U.S.C. § 604.

4.2.1.1 Committees of the Conference

Supporting much of the work of the Judicial Conference are several committees, comprised primarily of Federal judges, that study and make policy recommendations to the Judicial Conference. The committees derive their jurisdiction and legal basis from the Judicial Conference itself and the Chief Justice as its presiding officer. The Committees and their chairpersons have no independent authority or charge apart from those conferred upon them by the Conference or its Executive Committee which has been authorized to act for the Conference. The committees are policy advisory entities to the Judicial Conference and thus are not involved in making day-to-day management decisions for the judiciary or for the Administrative Office.

4.2.1.2 Committee on Automation and Technology

The Committee was created in September 1990. Its statement of jurisdiction, as approved by the Executive Committee of the Judicial Conference, is as follows:

To provide general policy recommendations and planning oversight of the judiciary's automation program.

- Recommend to the Judicial Conference broad automation goals, objectives, and priorities.
- Develop and propose national information resources management (IRM) policies which will promote the effective and efficient use of automation in the courts.
- Coordinate the development of and approve for submission to the Judicial Conference the Long Range Plan for Automation in the Federal Judiciary.
- Conduct ongoing evaluations of existing systems and make recommendations for changes as necessary.
- When the budget is being formulated, propose adequate funding and resources to support the automation program, including education and training in automation, taking into account the overall fiscal situation of the judiciary. Make recommendations on automation staffing issues to the Committee on Judicial Resources.
- Coordinate and evaluate all aspects of computer-assisted legal research and the library program.

4.2.2 Director of the Administrative Office

The Director is appointed by the Chief Justice of the Supreme Court to carry out the mission of the Administrative Office and serves as its Chief Executive Officer. While users have been given major roles in defining and monitoring automation projects, the Director is responsible for implementation of the automation program and coordination of automation with other programs. Achieving a balance of user participation with accountability for delivery of services is the responsibility of the Director. To this end, the Director has established Umbrella Groups and the Director's Automation Planning Council. The role of these two bodies is to provide recommendations to the Director who, in turn, supports the role of the Committee as

the body that recommends policy for automation in the judiciary to the Judicial Conference.

4.2.2.1 Umbrella Groups

To organize user involvement in automation management, a new structure of Umbrella Groups and User Groups has been put into place. The Umbrella Groups are generally responsible for identifying needs and coordinating specific projects within a broad functional area. They provide cohesion to the individual projects within their area of concern. Umbrella Groups identify, validate, and prioritize the users' functional requirements in their respective areas and assist to oversee and review efforts undertaken to respond to those needs. The User Groups, comprised of subject-matter experts from the courts and the Administrative Office, identify and articulate needs for specific applications.

4.2.2.2 Director's Automation Planning Council

The Assistant Director for Automation and Technology is the chair of the Director's Automation Planning Council whose members include Umbrella Group Chairs, Assistant Directors of the Administrative Office, and a circuit executive. The Deputy Assistant Director for Automation and Technology serves as secretary. The Director's Automation Planning Council acts in an advisory capacity to the Director and addresses recommendations and priorities for the automation program.

4.3 General Automation Policies

The automation policies and priorities adopted by the Judicial Conference provide the basis on which the judiciary's automation program is built. This section summarizes these general policies as contained in Judicial Conference and Committee reports. Specific actions — such as those that authorize automation program activities or those that set automation priorities for a particular fiscal year — are described in the annual product updates.

4.3.1 Judicial Conference of the United States

The Judicial Conference must approve fiscal year updates of the Long Range Plan (JCUS-MAR90, p. 21).

The fiscal year 1991 update to the Long Range Plan, with a central theme of building effective partnerships throughout the judiciary to support the automation program,

reemphasizes the importance of systems integration to achieving the objectives of the program. The goal is to provide easy and reliable access to fully integrated office automation, court automation, and data communications through a single workstation (JCUS-MAR91, p. 12).

All pilot programs that will form the basis for the development of permanent programs with system-wide application or impact must be approved by the Judicial Conference (JCUS-MAR91, pp 11-12).

For courts operating non-UNIX automation systems that are of a complexity similar to that of UNIX-based systems, the current staffing guidelines that are applicable to UNIX-based courts also apply, provided that such systems are certified by the Committee on Automation and Technology (JCUS-MAR92, p. 27).

Any future requests for Judicial Conference approval to conduct a pilot program must include a sunset provision and a plan for evaluation (JCUS-SEP93, p. 37).

4.3.2 Committee on Automation and Technology

The Committee considers the IRM Strategic Plan for Automation in the Federal Judiciary as the basic foundation of the Long Range Plan (CAT-JUN92, p. 12; CAT-JUN92 Appendix C, pp. 3-4). This overall IRM strategic plan is supported by functional strategy statements. So long as the functional strategy statements do not contain goals or objectives at odds with those contained in the overall IRM strategic plan, it is important they be included as a part of the Long Range Plan to provide a vehicle for users to express their particular needs, concerns, and priorities. Differences in verbiage, unless inconsistent with the IRM Strategic Plan for Automation in the Federal Judiciary, can exist.

Approval of the Director of the Administrative Office is required at all phases of a project's life cycle. Concurrence of the Committee (or that of the Chair if it cannot wait until the next meeting of the full Committee) is necessary before a prospective project may move from Phase 0 to Phase 1 and before a project may move from Phase 1 to Phase 2 or from Phase 4b to Phase

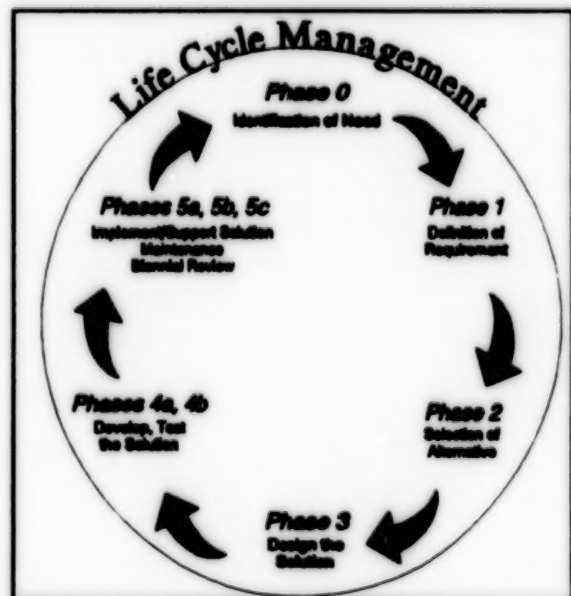


FIGURE 2 There are six phases in the life-cycle management model used in the Federal judiciary.

5a. Stable national products in Phase 5c will be reviewed by the Director biennially to determine whether they should continue. The Director's decision will be submitted to the Committee for concurrence at the end of each affected phase (CAT-JAN93, pp 5-6).

The Committee committed to systems integration at the strategic level (CAT-JUN92, p. 12; CAT-JUN92 Appendix C, p. 9). This commitment to integration acknowledges that interconnectivity and interoperability are of primary importance in shaping the automation program in the judiciary (CAT-JUN92 Appendix C, p. 9).

4.4 Legal Considerations

The table at the right, provided by the Office of the General Counsel, indicates which major statutes and regulations concerning the acquisition and management of information resources apply to the judiciary.

It should be noted that the Federal Information Resources Management Regulation (FIRMR) purports to apply statutes and regulations that otherwise do not apply to the judiciary, such as Paperwork Reduction provisions and the entire Federal Acquisitions Regulation (FAR). It is the position of the General Counsel that, to the extent the regulations apply broad statutes from which Congress has exempted the judiciary, the regulations exceed the authority of the issuing agency and have no effect. It should be noted that the FAR generally

implements the Competition in Contracting Act of 1984, little of which applies to the judiciary. Certain FAR provisions implementing statutes applicable to the judiciary do apply to the judiciary, such as the Procurement Integrity provisions of FAR 3-104. Moreover, the FIRMR in places incorporates particular provisions of the FAR, such as the requirements for publicizing procurement opportunities and justifying noncompetitive procurements. Because the incorporation of these provisions is tailored to specific circumstances, which arguably are

TABLE I: Legal Considerations

Brooks Act (as amended)	40 U.S.C. 759	YES
Paperwork Reduction Provisions	44 U.S.C. 3501-3520	NO
Federal Records Management Provisions	44 U.S.C. 2901-2909 3101-3107 3301-3324	YES
Freedom of Information Act	5 U.S.C. 552	NO
Privacy Act	5 U.S.C. 552(a)	NO
Computer Security Act	40 U.S.C. 759(d)	YES
Federal Information Resources Management Regulation (FIRMR)	41 C.F.R. Ch. 201	YES
FIRMR Bulletins and GSA Handbooks	These are not regulations, <i>per se.</i>	NO
Federal Acquisition Regulation (FAR)	48 C.F.R. Ch. 1	NO
Office of Management and Budget (OMB) Circulars	Various	NO ¹

¹Excluding those regarding the format of budget submissions.

consistent with applicable statutes, these provisions probably are properly extended to the judiciary.

4.5 The Planning Process

Implementing and institutionalizing the Long Range Plan and the planning process in the judiciary are critical to the success of the automation program. Only through continued commitment to the process will the planning effort be successful. An important element in institutionalizing the planning process is to update the Long Range Plan annually in coordination with the budget process. The Director and the Committee are committed to the implementation of an IRM strategic planning process whereby new and previously unplanned projects may be added to the plan, and informed decisions can be made concerning the reallocation of resources to support the new projects and the resulting impact on existing plans.

SECTION 5

ENVIRONMENT

5.1 External Environmental Factors Affecting IRM in the Judiciary

External environmental factors have a significant impact on the automation program in the judiciary. The Judicial Conference, upon recommendation of the Committee, should take a proactive stand in addressing external factors to the extent possible. Some external factors are beyond the immediate control of the judiciary and demand a reactive response. Advances in technology, the need for public access to electronic records, electronic data interchange, appropriations or other legislation have been identified as other external factors presently affecting the judiciary's automation program. Although some of these factors are the result of external elements beyond the direct control of the judiciary, they (as well as any other relevant factors identified in the future) must be considered in the automation planning process.

5.2 Current IRM Environment in the Judiciary

The current IRM environment can be assessed in terms of three fundamental areas: human resources, information management, and information technology. The following sections contain a synopsis of the judiciary's current IRM environment in these three fundamental areas in terms of strengths, weaknesses, opportunities, and threats.

5.2.1 Human Resources

The first fundamental area of automation examined by the Judiciary IRM Strategic Plan is human resources, including the users and providers of services necessary to carry out the automation program in the judiciary. IRM is a complex management function that affects every program area of the judiciary. The Judicial Conference, the Committee, the Director, the users of automated services, and the providers of service all play important yet distinct roles in the effective implementation of the automation program. Human resources within the judiciary are crucial to ensuring that automation policies and priorities are implemented and the judiciary's information needs are met. To implement the automation program in the judiciary successfully, judges, court managers, and Administrative Office managers must become visionary proponents of IRM.

5.2.1.1 Human Resources Strengths

Users are a valuable resource to the automation program. The knowledge, skill, and experience of users constitute one of the judiciary's greatest strengths, and the level of sophistication of all users continues to rise. Creating an environment in which users may participate actively in improving the quality and effectiveness of automation systems is essential to the success of the program. To that end, a consensus on the realignment of the user group structure (Umbrella Groups) and several other organizational roles was reached in October 1992. Subsequently, the Director, acting on nominations submitted from throughout the courts, appointed the chairs and members of these new groups which met for the first time in March 1993. Such active participation in the automation program will help assure its success.

5.2.1.2 Human Resources Weaknesses

Although there are a wealth of talented users throughout the judiciary willing to participate actively in the development process, any negative perceptions these users may have about the automation program must continue to be identified and addressed immediately. Some of the areas of the automation program about which users continue to have negative perceptions include the effectiveness of the existing support structure, staffing for the automation program, and communications between the courts and Administrative Office concerning the automation program.

5.2.1.3 Human Resources Opportunities

The Director is committed to providing the management support and leadership necessary to enable users and providers of service to attain acceptable levels of knowledge and to facilitate organizational learning through the establishment of a comprehensive IRM education and training program. In addition, he is determined to focus greater support at the court level where it is most needed and to provide clearer lines of communication and coordination with the providers of service at the Administrative Office.

Action is already being taken to respond to many opportunities in this area. Subject to the availability of funds, the courts are being provided with the necessary resources, such as train-the-trainer programs and model training packages, to become self-sufficient in training replacement personnel. The courts have become sensitive to the ergonomic requirements of users and the special needs of the disabled. A program to train judges in automation is continuing, and outside consultants have completed two comprehensive studies of the IRM education and training needs of users and providers of service. An

ad hoc committee has developed a two-part education plan consisting of train-the-trainer and interactive multimedia components to provide office automation training to the entire court family. To optimize the utilization of automation staff in the Administrative Office, detailed personnel resource baselines for the objectives and organizational tasking have been completed for each office and division in the Office of Automation and Technology. These documents will be analyzed to identify organizational voids as well as organizational overlaps. Finally, at the request of the Committee, the Committee on Judicial Resources has undertaken a comprehensive study of all court automation support positions and positions which rely extensively on automation to accomplish assigned duties. The objective of this study, scheduled for completion in fiscal year 1993, was to determine the requisite knowledge, skill, and compensation levels to attract and retain qualified individuals for these positions.

5.2.1.4 Human Resources Threats

Human resources threats are not unique to the judiciary but in fact are common in public and private sector organizations. Nevertheless, the future success of the automation program in the judiciary is dependent upon addressing these threats through continual development of the knowledge and skills of users and providers of service and promoting a greater understanding of the demands placed on staff throughout the judiciary. Automation knowledge and skill levels required for all positions throughout the courts must be addressed continually, and there must be a clearer understanding and appreciation of the benefits and impact of information technology on the positions. Efforts must be undertaken to ensure that the classification and compensation levels of these positions are appropriate to attract and retain qualified personnel. Organizational voids and overlaps must be identified and corrected.

5.2.2 Information Management

The second fundamental area of automation examined by the Judiciary IRM Strategic Plan is information management. This area includes the overall management and control of automated information including identifying and sharing of management information needs; ensuring adequate standardization, control, security, integrity, and privacy of data stored, accessed, or manipulated; and establishing and implementing appropriate policies and procedures to ensure proper automated and electronic records management activities and to provide sufficient data accessibility for purposes of public access and statistical aggregation. Automated information is an essential strategic resource necessary to support the judiciary's programmatic mission, goals, and objectives. The effective and efficient creation, collection, retrieval, use,

dissemination, storage and final disposition of automated information must be evaluated, planned, managed, and coordinated, just as the judiciary would any of its other resources.

5.2.2.1 Information Management Strengths

Information management strengths include high-level support of the automation program by judges, court managers, and Administrative Office managers as well as a high-level commitment to the Judiciary IRM Strategic Plan and the planning process as a whole. With regard to electronic records management, a recent study found that most courts are managing their textual and audiovisual records in a satisfactory fashion. Formal record-keeping guidance, staffing levels, and training are generally adequate, though in some courts additional records management staff and training are needed. At most courts, files are maintained in accordance with long-established filing plans and can be retrieved efficiently. Within the context of life-cycle management, the judiciary has begun to address the integrated, open environment of information flow among court organizations and other Federal agencies; the interconnectivity and interoperability of automated information systems; standard data definitions for information systems; and data security and integrity issues. Finally, there is also high-level commitment to continued multi-year funding for the automation program through a request to Congress for an extension of the operating authority for the Judiciary Automation Fund.

5.2.2.2 Information Management Weaknesses

Notwithstanding the progress being made in many instances, information management weaknesses continue in establishing formal contingency plans, employing an effective priority-setting system, defining IRM roles and responsibilities clearly, conducting acceptable operational and management reviews, and implementing a management system capable of ensuring accurate project progress tracking and maintaining adequate user involvement throughout the development process. Proposals have been evaluated and solutions to these weaknesses are evolving. A recent evaluation revealed a number of problems in the maintenance and disposition by courts of their textual and audiovisual records. An action plan has been developed and implemented in response to the specific recommendations.

5.2.2.3 Information Management Opportunities

Information management opportunities include the development and enhancement of policies to improve the automation program. The resolution of problems which have been found in existing applications have been given a

high priority by the Assistant Director for Automation and Technology, who has been appointed by the Director as the Designated Senior Official (DSO) responsible for implementing the automation program in the judiciary. Standards for developmental and operational activities are being developed and project management is being strengthened through life-cycle management practices and the concept of system ownership. Users are becoming increasingly involved in the project development process through the use of the Joint Application Design¹ methodology and other similar development techniques. In addition, greater coordination of court-based development efforts and the establishment of a centralized information clearinghouse is being undertaken to allow the judiciary to maximize the utilization of development efforts that are underway in individual courts.

5.2.2.4 Information Management Threats

Information management threats which continually must be addressed include the need to rebuild and maintain user confidence in Administrative Office providers-of-service who support the courts and the need to strengthen some practices related to the maintenance and disposition of textual and audiovisual records. All levels of management in the judiciary — judges, court managers, and Administrative Office managers — should recognize that the changes presently underway in the automation program may produce short-term pain but will result in long-term benefits. To succeed, the automation program requires a long-term commitment on the part of both the users and the providers of service.

5.2.3 Information Technology

The third fundamental area of automation examined by the Judiciary IRM Strategic Plan is information technology. This area includes technical resources (hardware and software) such as automatic data processing, telecommunications, and office information systems used to address problems in information handling, use, processing, storage, and management. Information technology is not an end in itself, but rather a critical vehicle that must be used to support the automated information requirements of the judiciary. Information technology initiatives reflect a commitment to systems interoperability, systems interconnectivity, industry standards, and technology assessment.

¹This nomenclature represents a particular technique, but, as used in the Long Range Plan, it is not intended to refer solely to the techniques employed by IBM.

5.2.3.1 Information Technology Strengths

The strategic significance of information technology to the courts has been widely recognized. The judiciary has made great strides in providing critical information technology resources to all those who require them. The judiciary has a strong application portfolio. New procedures have been emplaced for project modification requests, requirements reviews, design reviews, and test plans. The procurement process in the judiciary is well defined and described, and the average time from the release of the request for proposals to contract award is approximately six months. The Committee and the Director have made a commitment to the ongoing pursuit of technological improvements, and are endeavoring to resolve any organizational issues impeding that process.

The most important initiative underway in the information technology arena is the integration of data processing, office automation, and data communications into a single function easily and reliably accessed through a single workstation located on each employee's desk. The integration of these three fundamental components will provide a gateway to a host of information technology capabilities for each judiciary employee and provide the means for information sharing within the judiciary and between the judiciary, other government agencies, the bar, and the public. The commitment to this integration at the strategic level acknowledges that integration and interoperability are of primary importance in shaping the automation program in the judiciary.



FIGURE 3: Three fundamental components of automation are being integrated into a functional whole.

A second initiative underway in the judiciary as part of the Court Integrated Information Management Systems (CIIMS) project is reexamining business processes as a means to plan for the next generation of automation and technology. The CIIMS project's Phase I study has been completed. This high-level inventory of all judiciary functions and applications at the appellate, district, and bankruptcy levels will be used to identify all automated court functions that should be considered as potential candidates for future automation projects and to identify unmet automation needs in the courts. The reports suggest that some of the business processes of the judiciary should be reexamined before the next generation of automation systems is designed.

A third important aspect of information technology is court-based development activities. These have emerged as "home-grown" solutions to address specific court needs throughout the judiciary. These solutions are a true reflection of

the information technology creativity, talent, and expertise in the courts. In more than one instance, these home-grown solutions have become the basis for nationally supported systems.

5.2.3.2 Information Technology Weaknesses

Many problems that currently challenge the judiciary in the information technology arena are generic in nature and are commonly experienced by other large organizations. For example, analysis reveals that full implementation of the judiciary's information technology initiatives is not delayed as a result of the procurement process so much as by deficiencies in the management system which have caused users to be unable to recognize and define their requirements properly. Furthermore, previous software applications have not been as user-friendly as required by users, and information technology initiatives have at times been the cause of controversy concerning the chosen hardware platform and operating system. Over the past year, great emphasis has been placed on improving the judiciary's applications software to avoid a crisis-type situation. A problem uniquely challenging to the judiciary in the information technology arena is the lack of network integration with the Supreme Court.

5.2.3.3 Information Technology Opportunities

Through the development of an information technology strategy which more clearly focuses the judiciary's information technology efforts, the judiciary can work toward greater efficiency in using the given technology to meet the information technology needs of the users. A careful evaluation and systematic improvement of the judiciary's software development techniques and expanded use of commercially available software are key opportunities in the information technology area. Further, a new focus on integrating decentralized automation support into the already decentralized information technology environment will contribute greatly to the success of the program. An *ad hoc* group was recently formed by the Administrative Office to produce a common understanding of the needs for and requirements of automation architecture. This group will address current and projected requirements for architecture standards or guidelines for judiciary automation and develop some suggested technical solutions to meet those requirements. Other critical information technology opportunities which are being addressed include the following: enhanced testing and evaluation of new automation systems; expanded user involvement in the project planning and development process; the initiation of efforts aimed at exploring the options for establishing network integration between the Supreme Court and the rest of the judiciary;

exploration by the Technology Enhancement Office of the Administrative Office of new technologies and advanced uses of existing technologies; refinement of the automation management system; better hardware and software inventories; and establishment of a technology transition center to ensure court-developed systems offered for judiciary-wide distribution will be sufficiently generic in nature, integrated with other systems operating in the courts, thoroughly documented, in compliance with all national standards, and given adequate support on a national level.

5.2.3.4 Information Technology Threats

Inadequate user involvement in the developmental process is a great potential information technology threat which must be addressed. Efforts must continue to promote greater understanding of the complexity involved in automating court functions. It is imperative that the impact of prior decisions on current efforts must be taken into account and an ongoing assessment must be made to determine whether past decisions have achieved the desired results.

5.3 Technology Trends in the Judiciary

The automation program in the judiciary relies on state-of-the-market technology as opposed to state-of-the-art technology. Therefore, the judiciary is migrating to systems which are cheaper to develop, faster to deploy, and easier to maintain. Although advanced technology exists — and in many instances is mature — the judiciary's automation program at this point has neither the funding nor the experience to proceed in that direction in the immediate future.

5.4 Vision for the Future in the Judiciary

Automation enables the members of the judiciary to store, retrieve, manipulate, and communicate enormous amounts of information as well as to perform certain tasks in a fraction of the manual time. Although much of the value of automation in the judiciary is intangibly indirect and behind-the-scenes, it can be a priceless tool in bolstering the public's confidence in the Judicial system. Electronic filing, docketing, case management, bankruptcy noticing, and electronic public access to selected court records are but a few components of a critical automation infrastructure. The challenge for today which will shape the vision for the future is to maintain service to the courts in all areas and to keep in place a plan for supporting the automation infrastructure. The judiciary must guard against dangers that include being caught in mid-cycle with insufficient funding or resources to maintain its existing services, or expand or offer new products or services that are essential to fulfilling its mission.

SECTION 6

CONCLUSION

IRM strategic planning for the automation program in the Federal judiciary is meaningful only as long as it relates to the ever-changing environment. As events necessitate the redirection of planned automation activities or as changes to requirements emerge, revisions must be made to the Long Range Plan. In essence, the Long Range Plan is a living document that changes as programmatic direction and priorities fluctuate or planning assumptions change. For the Long Range Plan to remain a meaningful and useful document, modifications must be identified and analyzed as to their impact on resource projections and other planned activities.

PART B

FUNCTIONAL STRATEGY STATEMENTS

FUNCTIONAL STRATEGY STATEMENTS

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ADMINISTRATION AND HUMAN RESOURCES UMBRELLA GROUP

A. SCOPE

The purpose of the Administration and Human Resources Umbrella Group is to ensure that needs for automation by our constituents are prioritized and fulfilled to assist Judicial Branch personnel to perform their management and administrative functions effectively and efficiently. The administrative services provided to the courts include the functions associated with the management of judiciary-controlled space and facilities; the procurement of goods and services excluding Federal Information Processing (FIP) resources; maintenance of law books; records and mail management; and personnel resource management of Judicial Branch employees. This strategy statement addresses a cross area view to help ensure optimal effectiveness in delivery methods and the quality of administrative products and services. This strategy does not encumber or inhibit any of the short-term support strategies being followed by existing applications users groups.

B. CURRENT STATUS

1. Space and Facilities

The Director of the Administrative Office is statutorily required to "[p]rovide accommodations for the courts, the Federal Judicial Center, the offices providing pretrial services and their clerical and administrative personnel" (Title 28 U.S.C § 604 (a)(12)). The Director carries out these responsibilities through the development of programs which provide for the acquisition, management, alteration, and construction of court facilities for judiciary personnel. To implement these programs, the Director has delegated certain responsibilities to either designed court officials or to certain Administrative Office staff. The Director has delegated responsibility at the executive staff level to the Assistant Director of Facilities, Security and Administrative Services and has delegated responsibility at the senior level to the Chief, Space and Facilities Division (SFD).

The Space and Facilities Division staff consists of facilities program analysts, and space management, design, and engineering professionals who provide space acquisition, management, and architectural assistance as well as budget formulation and congressional liaison activities in support of approximately 260 courts in 730 locations.

Significant progress has been made in the development and implementation of an automated system which is to become the primary tool used for management of the judiciary's space inventory. The Facilities Automation for the Courts System (FACTS) is a new system that will track and manage real property projects and support the management of funding for real property acquisitions and construction and repair projects.

The project's major objectives are to: a) compile, maintain, and monitor an up-to-date space inventory; b) establish and maintain a monitoring and tracking system for project development and various levels of tenant alteration and repair projects; and c) to integrate the space and facilities budget data, long range planning data, and computer generated floor plans of all judiciary facilities. One of the most critical elements in ensuring the success of court facilities projects will be the extent to which automated systems can be developed, employed, and maintained to support the major functional areas of the space and facilities program.

2. Procurement

The process for the procurement, distribution, and management of supplies, equipment, and services for the courts is a manual process. Several of these processes could be automated.

Currently courts order their lawbooks from the Administrative Office through the circuit librarian either via paper or electronic mediums. Lawbook procurement is currently supported by a centralized, automated program running on a 13 year old IBM SYSTEM 36 computer. An in-house PC-based software development project is underway to replace the SYSTEM 36.

3. Records and Mail Management

Federal judiciary forms are currently printed on paper and are stocked at the GSA forms warehouse in Fort Worth, Texas and the Federal Prison Industries warehouse in Lexington, Kentucky. These forms are mailed to court locations upon request. When a form is superseded by a new form or new edition of the current form, or when the current form is approved for reprinting, an estimated six month supply is printed. This system results in the disposal of substantial quantities of superseded or obsolete forms. There is also the danger that users will complete and use obsolete forms.

The Guide to Judiciary Policies and Procedures (Guide) is currently printed and distributed in paper form. Direct distribution is limited to those on specific mailing lists; availability within courts depends solely upon effective distribution by individual managing offices. Guide updates are sent as changes occur; manual posting of all changes is required. Complete reissuances are rare because of high printing and distribution costs. Instant access to changes is not possible due to the time required for printing and mailing.

4. Personnel Resource Management

The current personnel system, Organization/Personnel Data Base System (OPDS), is an integrated data base information system designed to establish a uniform position management, personnel processing, and budget control (position-based control) system for the judiciary. OPDS was developed in house and has been fully operational since 1987. OPDS is a centralized system, used within the Administrative Office. There are approximately 65 on-line users. A follow-on effort to budget decentralization is currently underway to increase on-line access by providing decentralized courts read-only access to OPDS data. This effort entails the addition of more than 450 remote users, accessing the data base via PCs equipped with modems.

The Administrative Office processes payroll actions for some 28,000 individuals in the Judicial branch. The payroll system was originally developed by the General Services Administration in the mid-1960's. In 1979, the Administrative Office purchased and implemented the payroll system as a stand-alone application designed to pay all judicial branch personnel and to be a central repository for computerized and hard copy pay documents and necessary files. The system has a number of serious limitations, such as: 1) outdated, undocumented, heavily patched software; 2) increasingly unreliable programs; 3) inability to satisfy generally accepted audit requirements; 4) inability to generate user-initiated ad hoc reports; 5) inability to be easily modified to meet new requirements.

C. VISION FOR FUTURE SYSTEM

To achieve high quality, cost effective and consistent administrative support for the judiciary.

D. TOP TWO/FOUR MAJOR STRENGTHS

1. The administrative staff is highly committed to high quality services to its customers and is knowledgeable about their needs.
2. The eventual installation of the Data Communications Network (DCN) will provide the means for effective and efficient administrative support to the courts in an on-line environment.
3. Create an installed base of compatible, multi-tasking and stand alone platforms in each court.
4. Emphasize training for greater user involvement in developing new applications and systems.

E. TOP TWO/FOUR MAJOR PROBLEMS AND INHIBITORS

1. The Personnel Systems Modernization Project must not be tapped for diversion of funds to other projects. Once begun, full funding is required to ensure that the Administrative Office's personnel and payroll functions will operate without major interruptions and will respond effectively to environmental changes. The current personnel/payroll system requires major enhancements or replacement in order to meet the functional requirements of the judiciary. For example, the current system structure cannot support the provisions of the pay scheme in the revised judiciary Salary Plan and does not support decentralization to courts for any data input.
2. Provide interface with other functional areas and their respective administrative systems and/or financial systems.
3. Training of Administrative Office staff and court personnel to operate and use the new automated system. For example, the Personnel Systems Modernization Project is pointed at entry of appointment, promotion, separation and time and attendance information at the payroll certifying officer and supervisory levels. With the exception of Supreme Court staff, who input their own information, no one in the courts is trained to accept the responsibility for the maintenance and use of a system which performs in this fashion.
4. Additional funding is required for travel of Administrative Office and Space and Facilities Division staff to participate in system training. The estimated annual cost is \$25,000 (funds for this purpose have not been previously requested and will need to be included in the Umbrella Groups's financial plan if funds from existing allocations cannot be utilized or are insufficient). Additional funding is also required for the acquisition of software and hardware to permit court personnel access to FACTS via the DCN. Estimated non-recurring cost is \$80,000.

F. TOP TWO/FOUR MAJOR OPPORTUNITIES

To permit the judiciary to maximize the full potential return on its investment in the automation program, consideration should be given to:

1. Placing a high priority on the resolution of problems which have been identified in the existing administrative structure.
2. Providing greater coordination of administrative services.
3. Strengthening the partnership among the Administrative Office, the courts, and other appropriate non-judiciary organizations such as the General Services Administration and the U.S. Postal Service.

4. Developing and enhancing procedures to improve administrative services to the courts.

G. TOP MAJOR ISSUES

At this time, there are no major issues in the administrative area.

H. TWO/FOUR MAIN COURSES OF ACTION AND PRIORITIES

1. Obtain additional funding for the Personnel Systems Modernization Project.
2. Complete the initiatives, at full funding, now underway for implementing the space and facilities automated project tracking and monitoring system and improving the payroll and personnel systems.
3. Establish a requirements subcommittee within the Human Resources Division Advisory Group to link current initiatives involving the courts (PC-based applications for the courts, electronic transmission of time and attendance data and personnel forms) with the main personnel and payroll project initiative.

I. APPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASES 1-5)

1. Personnel Systems Modernization

Description: To replace the current personnel and payroll system.

a. CPMS Classification System

Description: Effort to develop an automated classification system in support of decentralizing the classification function to the courts under CPMS.

b. Hercules

Description: This project is an effort which originated in the courts through the Appellate Users Group and which is being coordinated with the Systems Modernization Project efforts. It is being designed to meet immediate court needs for personnel applications which cannot be met by any of the existing personnel/payroll systems. Such applications include leave tracking, employee work histories, position descriptions and job announcements. These applications will eventually be subsumed by the new personnel/payroll system or fed data from it. The HERCULES effort is not funded by the Judiciary Automation Fund.

2. **Facilities Automation for the Courts (FACTS)**
Description: An automated system that will interface with GSA's Foundation Information of Real Property Management system in order to provide on-line queries and report generation.
3. **Records Management Systems—Forms and Guide Automation**
Description: This project includes the reproduction of Federal judiciary forms on electronic media and reproduction of the Guide on electronic media in order to enhance and improve the dissemination and retrieval of information of the judiciary's policies and procedures.
4. **LIBRA**
Description: LIBRA is an acquisition program developed to replace the IBM System 36 acquisitions program, used by the Contracts and Services Division, Lawbooks Section, in order to support the lawbook acquisition needs of the judicial, court and AO offices in the Judiciary. LIBRA is a windowed program with full mouse support, using a FoxPro application.
5. **System 36 OPS**
Description: For approximately 14 years this mini-based computer system supported lawbook acquisition and inventory. This system has been replaced by the LIBRA system which represents the latest software and hardware technology available.
6. **Organization Personnel Data Base System (OPDS)**
OPDS is the central automated repository of information pertaining to court, AO and Supreme Court staff. The OPDS system was designed to provide AO personnel Division staff with an automated personnel system which would provide AO staff with payroll, benefits and staffing information. Presently, access to the information contained in OPDS is limited to selected court, AO and Supreme Court staff.
7. **Program for Relocation Information and Moving Expenses (PRIME)** PRIME is a software program designed to automate the travel data relating to a transfer of official station and the issuance of W-2 forms at the end of the year, for those allowances required to be reported as income. This system replaces data being manually prepared and forwarded to payroll for inclusion in the employee's current year income.

J. RESOURCES FOR THIS UMBRELLA GROUP (\$000):

<u>Project</u>	<u>FY 94</u>	<u>FY 95</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>
Personnel Systems Modernization	2,170	4,185	5,495	4,671	4,671
FACTS	244.6	309	323	338	349
Records Management System	0	10.3	10.6	11	11.3
Travel	40	20	20	20	20
System 36 OPS	11.0	0	0	0	0
PRIME	26	5	5	5	5

*CPMS and OPDS are funded by the S&E and the AO Appropriations, respectively.

K. UNAPPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASE 0)

1. **Architecture Drawing Storage:**
Development of an automated storage and retrieval system for architectural drawings. Estimated non-recurring cost is \$300,000.
2. **Virtual Reality Space Planning System:**
This system will be integrated with other systems to enhance the capability of designing and reconfiguring courtrooms, chambers, and other space unique to the Federal judiciary. Implementation of this technology will save the judiciary money and valuable time.

APPELLATE CASE MANAGEMENT AND STATISTICS UMBRELLA GROUP

A. SCOPE

The Appellate Case Management and Statistics Strategy addresses automated systems for case management and statistical reporting installed in the Courts of Appeals. This Strategy Statement also considers non-automated case management procedures in the appellate clerks' offices, staff attorneys' offices and circuit executives' offices and necessary interfaces to other functional areas.

B. CURRENT STATUS

There are a variety of applications presently installed in the appellate courts that support case management and statistical reporting. These applications include the Appellate Information Management System (AIMS), Attorney Admissions, Electronic Dissemination of Opinions Systems (EDOS), Staff Tracking and Reports system (STAR), and Public Access to Court Electronic Records (PACER). AIMS is installed and operational to varying extent in ten of the twelve appellate courts. The Fifth and Eleventh Circuits have chosen not to install AIMS at this time. The Eleventh Circuit has developed its own automated case management system while the Fifth Circuit does not presently have its dockets automated. Attorney Admissions is installed in ten courts, EDOS has been installed in eight courts, PACER is installed in six courts, and STAR is installed in two courts. In addition, courts have developed a variety of specialized applications to meet their unique case processing needs.

C. VISION FOR THE FUTURE

The next generation of case management and statistical reporting systems must be both an effective case management tool and part of the total office automation system. They should have a simpler, intuitive user interface, thereby improving productivity and reducing training time and costs. They should be easier to maintain, both by court personnel and by Administrative Office staff. New systems should be modular, so that changes and improvements can be made simply and without significant danger of affecting other parts of the software. Finally, systems should be designed with the other office systems, including the Data Communications Network (DCN), in mind, so that they can be effectively integrated with them.

D. TOP TWO/FOUR MAJOR STRENGTHS

1. The courts' staff are their most valuable resource.
2. Currently available automation systems provide the courts largely functional on-line case management, including electronic docketing, reports and forms, and satisfy current national statistical reporting requirements.

Appellate Case Management and Statistics Umbrella Group

3. Existing systems software has proven sufficiently flexible to meet most local court needs.

E. TOP TWO/FOUR MAJOR PROBLEMS AND INHIBITORS

1. The judiciary has not articulated the architecture for future development of automated case management systems. This lack of a defined architecture limits the ability to:
 - upgrade current functionality;
 - develop a coherent plan for migration to new systems; and
 - make sound budgetary decisions
2. The lack of common data standards across the judiciary, especially in this time of information sharing and increasingly careful management of scarce resources, deters ensuring proper interchange of data among the next generation of judiciary applications.
3. The umbrella group structure has not yet resolved the handling of important cross-group issues and problems. There is concern that important constituent groups, such as chambers and libraries, are for example, not sufficiently represented in the Appellate Case Management and Statistics Umbrella.
4. Priorities and guidelines for allocating funds within the automation budget have not been clearly articulated. Until guidelines are established, competition for limited resources will continue to force users to decide between maintaining existing, complex systems and committing staff and money to the design and implementation of new, more easily maintained systems.

F. TOP TWO/FOUR MAJOR OPPORTUNITIES

1. The Umbrella Group Management process provides the appellate courts a forum for articulating their needs and affords opportunities to participate in establishing judiciary-wide priorities.
2. The life cycle management approach for planning, designing, developing, deploying and maintaining systems should improve the management and execution of projects and increase the likelihood of success. Greater appellate court involvement in this process would provide systems that are designed by users to meet their actual needs.

3. Using state-of-the art technology could enhance the appellate courts' operations, by reducing maintenance expenditures, improving efficiency, and allowing courts the flexibility to meet special local needs.
4. Continuing efforts are being made to improve the operation of AIMS through the Integrated Case Management Systems (ICMS) Improvements Project (IIP) by making it more adaptable to the needs of the courts. In the meantime, the judiciary can take advantage of this period to study current business processes in order to develop meaningful, long-term initiatives for automation in the courts. Developing refined overall system architecture and adopting common data standards within the courts will allow both existing system improvements and new system design efforts to move forward in a comprehensive and cohesive fashion.

G. TOP MAJOR ISSUES

1. Concerns about budget constraints, competition for resources, inherent uncertainties about future directions, and competing priorities are reflected throughout this document.
2. The role of the Support and Training Center in the appellate automation life cycle process should be studied to determine if the role should be expanded to establish parity with support given to the other court groups and to relieve appellate court personnel of some of the burdens associated with user training and system testing.

H. TWO/FOUR MAIN COURSES OF ACTION AND PRIORITIES

1. Reduce ICMS maintenance efforts for the AIMS software by limiting modifications to those needed to correct vital software deficiencies or to implement changes mandated legislatively or by the Judicial Conference. Resources freed by this decision should be assigned to the IIP project.
2. Finalization of the IIP Strategy, placement of IIP under the Judiciary's Project Management Process and assurance of funding for that project; review of existing modification requests by courts with recommendations to the IIP project for inclusion in the IIP.
3. Continued support of the Court Integrated Information Management System (CIIMS) project in its efforts to analyze the business processes of the courts with appropriate recommendations for changes which will be conducive to future automation initiatives within the context of overall automation program architecture.

Appellate Case Management and Statistics Umbrella Group

4. Identification and replacement of out-dated or no longer sufficient AIMS-related peripheral equipment. Procurement of peripheral equipment and enhancements necessary to maximize the efficiency and capabilities of the 486 PCs.

I. APPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASES 1-5)

1. Appellate Case Applications (ACAP)

A collection of applications which includes:

a. Appellate Information Management System (AIMS)

AIMS is a decentralized UNIX-based software application for automated case management. It provides electronic docketing, report generation, noticing, calendaring, and developing paneling capabilities. It also provides judicial statistics for transmission to the Administrative Office and for local court use.

b. Attorney Admissions

Attorney Admissions is an application designed to manage information about attorneys admitted to practice before the court.

c. Electronic Dissemination of Opinions System (EDOS)

EDOS is an application which permits dial-in access by and dissemination to the public in electronic form of appellate court information including the full text of recently published opinions, court calendars, local rules and procedures, press releases, and general notices selected by each appellate court for electronic distribution.

d. Public Access to Court Electronic Records (PACER)

PACER is a software application which provides the public with electronic access to selected ICMS case information.

e. Joint Project Development (JPD)

Joint Project Development combines the efforts of court and Administrative Office staff in the creation of court identified software programs for court use.

Staff Tracking and Report System (STAR)

STAR is a joint project development effort. It is a case management system (an AIMS database) that provides staff attorneys access to automated case tracking information and reporting by downloading basic case information contained in the AIMS database.

Appellate Case Management and Statistics Umbrella Group

Inter-ICMS Data Exchange (I-IDE)

I-IDE is a joint project development effort. Its purpose is to extract data from district court databases and send it to appellate courts. There are other proposed innovations, such as auto-loading of data to AIMS, data quality checking, etc.

J. RESOURCES FOR THIS UMBRELLA GROUP (\$000)

<u>Project</u>	<u>FY 94</u>	<u>FY 95</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>
Joint Project Development	4.9	4.9	5.2	5.4	5.5
ACAP-AIMS	694.1	685.2	814.0	840.2	867.2
ACAP-AIMS Cyclical Replacement	117.1	80.0	238.7	246.1	253.7
Umbrella/Subgroup Travel	40.1	40.0	42.5	43.8	45.2
ICMS Improvements (IIP)	22.5	18.0	30.0	30.0	30.0
TOTAL	878.7	828.1	1,130.4	1,165.5	1,201.6

K. UNAPPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASE 0)

BANKRUPTCY CASE MANAGEMENT AND STATISTICS UMBRELLA GROUP

A. SCOPE

The Bankruptcy Case Management and Statistics Umbrella Group focuses on business processes used for case management and statistical reporting. Case management includes communication within the bankruptcy courts, other court units, and interfaces with court users, members of the public, and related administrative applications.

B. CURRENT STATUS

There are two applications which presently support the case management and statistical needs in all of the bankruptcy courts. The Bankruptcy Court Automation Project (BANCAP) is operational in 71 bankruptcy courts, the National Interim Bankruptcy System (NIBS) is operational in 20 bankruptcy courts. In addition, 15 bankruptcy courts utilize the Bankruptcy Automated Noticing System (BANS). Courts have also developed a variety of specialized applications to meet their unique case processing needs.

C. VISION FOR THE FUTURE

The information technology goal of the bankruptcy courts is to provide easy and reliable access to fully integrated data processing, including a uniform case management and statistical reporting system, office automation, and data communications through a single workstation located on each employee's desk.

D. TOP TWO/FOUR MAJOR STRENGTHS

1. The bankruptcy courts' staff are their most important resource.
2. The diversity of the two case management systems provides a foundation on which a uniform case management system may be built.

E. TOP TWO/FOUR MAJOR PROBLEMS AND INHIBITORS

1. It is perceived that there is currently no mechanism in place to move the bankruptcy courts to a uniform next generation case management system.
2. There are two centrally supported case management applications, BANCAP and NIBS, which result in competition for and controversy over resources and maintenance and development.
3. Coupling of the Integrated Case Management Systems (ICMS) applications, and the lack of a completed ICMS Improvements Project (IIP), inhibits development unique to bankruptcy applications.

Bankruptcy Case Management and Statistics Umbrella Group

4. The lack of an adequate calendar program for the BANCAP courts inhibits the integration of the calendar function with case management.

F. TOP TWO/FOUR MAJOR OPPORTUNITIES

1. Development of a uniform case management system for the bankruptcy courts. A comprehensive review of the two current applications should be undertaken to determine each systems strengths and weaknesses. Other sources should be considered to meet the needs of the court.
2. The Umbrella Group management process provides the bankruptcy courts a forum to articulate their needs and affords opportunities to realize those needs.
3. In conjunction with the development of a uniform case management system, continue to use state-of-the-art technology to enhance the two current case management systems and to allow courts the flexibility to meet special local needs.
4. The life cycle management approach for planning, designing, developing, deploying and maintaining systems should improve the management and execution of projects and increase the likelihood of success. Greater bankruptcy court involvement in this process is essential for the development of systems responsive to user needs.

G. TOP MAJOR ISSUES

1. A policy should be established to implement a uniform case management system.
2. The role of and need for the national support and training centers for the bankruptcy courts.
3. A policy should be established concerning the implementation of the bankruptcy noticing center.
4. A reevaluation of all training and support resources should occur to reallocate equitably those resources for both existing case management systems.

H. TWO/FOUR MAIN COURSES OF ACTION AND PRIORITIES

1. Conduct a comprehensive review of the two current case management applications to determine each systems' strengths and weaknesses; conduct an independent evaluation, to identify, and thereafter obtain, resources required by NIBS and BANCAP courts for support center, training, hardware and software maintenance and enhancement.

2. Complete definition, development and implementation of the IIP. Reduce ICMS maintenance efforts for the BANCAP software by limiting modifications to those which will correct vital software deficiencies and those affecting nationwide reporting and to modifications mandated legislatively or by the Judicial Conference. Provide corresponding increases in the level of support for the IIP development.
3. Support the Court Integrated Information Management System (CIIMS) project in its efforts to analyze the business processes of the courts with appropriate recommendations for changes which will be conducive to future automation initiatives within the context of overall automation program architecture; participate in the data administration efforts now underway which will include the development of comprehensive data standards and a stated architecture.
4. Rapid expansion and implementation of the Bankruptcy Noticing Center (BNC) to non-BANS courts.

I. APPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASES 1-5)

1. **Bankruptcy Automated Noticing Center (BANS)**
BANS is a system that provides electronic notice production and case management reporting for the largest bankruptcy courts. BANS will be replaced by the Bankruptcy Noticing Center.
2. **Bankruptcy Case Applications (BCAP)**
BCAP is a compilation of software applications utilized by the bankruptcy courts. Related sub-systems include:
 - a. **Attorney Admissions** A system designed to manage information about attorneys admitted to practice before the court.
 - b. **Bankruptcy Court Automation Project (BANCAP)** A UNIX-based software application for automated case management which provides electronic docketing, case management, reporting, noticing, and query capabilities.
 - c. **Case Assignment System** An application to automate the random assignment of a judge to a case.
 - d. **Public Access to Court Electronic Records (PACER)** A system that provides the public with electronic access to selected ICMS case information from a court-based PC.

Bankruptcy Case Management and Statistics Umbrella Group

- e. **U.S. Trustee Interface** A program that extracts selected data from the BANCAP database on a daily basis.
 - f. **Voice Case Information System** A computer generated voice response to the public's request for ICMS case information using a touch-tone telephone.
 - g. **PACER Fees Pilot (Dial 900)** A billing system provided by U.S. Sprint Communication Company to collect access fees from the public for access to selected case information.
 - h. **PACER Fees Pilot (CVB)** A billing system developed by the Western District of Texas to collect access fees from the public for access to selected case information.
 - i. **Calendaring System (BCAP)** A proposed automated system for setting hearings on the judge's calendar that interfaces with the BANCAP docket program. It would offer query capabilities and produce court or chamber's specific calendars and reports.
- 3. **National Interim Bankruptcy System (NIBS)** NIBS is a DOS-based software application for automated case management which provides electronic docketing, case tracking, and reporting capabilities.
 - 4. **Bankruptcy Noticing Center** It is a center that will provide electronic notice production and case management reporting for the bankruptcy courts.
 - 5. **Records Management/Mail Handling Systems** Provides for the replacement of inoperable and outmoded mail processing equipment.
 - 6. **Bankruptcy Administrator Tracking System (NewBATS)** NewBATS is an automated case management system which allows Bankruptcy Administrators to manage their cases and oversee their trustees' work. The system can download case opening information from BANCAP and NIBS in the clerk's office.
 - 7. **Records Management System¹**
The Records Management System (RMS) is an application designed for courts to automate the file room functions of tracking the movement of active case files throughout the courthouse and for tracking the Federal Record Center location of case files, docket binders, and reporter notes.

¹The Records Management System receives funding from the Administrative and Human Resources Umbrella Group

Bankruptcy Case Management and Statistics Umbrella Group

8. Financial System (FINSYS)

FINSYS is an automated financial system that includes a REGISTER program. The REGISTER program generates receipts and processes them for transfer to the FINSYS program.²

J. RESOURCES FOR THIS UMBRELLA GROUP (\$000)

<u>Project</u>	<u>FY 94</u>	<u>FY 95</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>
Bank. Claims Processing	0.0	200.0	1,000.0	1,000.0	1,000.0
Bank. Noticing Center	976.0	557.0	3,708.0	5,018.0	5,018.0
BCAP-BANCAP	3,893.8	4,081.0	4,826.3	4,975.9	5,130.2
BANS	544.0	0.0	0.0	0.0	0.0
NIBS	638.1	774.6	695.0	716.6	738.8
Records Mgt Mail Equip.	390.4	300.0	200.0	200.0	200.0
BANCAP Cyclical Replacement	536.6	560.0	584.4	602.5	621.2
Umbrella/Subgroup Travel	95.1	152.0	193.0	199.0	205.1
IIP	22.5	18.0	231.2	231.2	231.2
TOTAL	7,096.5	6,642.6	12,609.9	12,943.1	13,144.4

K. UNAPPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASE 0)

1. Bankruptcy Claims Processing

A new project to automate bankruptcy claims processing using electronic document imaging techniques.

2. Bankruptcy CHASER³

This project will provide bankruptcy judges and their staff immediate access to electronic case specific information.

²The FINSYS system is supported by the United States Bankruptcy Court in the Eastern District of Virginia.

³Bankruptcy CHASER is funded under the Chambers, Courtroom and Library Umbrella Group

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CHAMBERS, COURTROOM, AND LIBRARY UMBRELLA GROUP

A. SCOPE

The function of the Chambers, Courtroom, Library Umbrella Group is to assess the automation and technology needs of all judges, their staffs, and court librarians and to plan the most effective use of available resources.

B. CURRENT STATUS

The automation fund created by Congress in 1990 has been used in part to place personal computers in judges' chambers and libraries. Most chambers PCs provide a menu, a personal electronic calendar, word processing (usually WordPerfect), and backup software. All chambers and libraries have access to computer assisted legal research (CALR), i.e., LEXIS and WESTLAW, either through direct dial-out phone lines in chambers or through a communications server if the chambers are linked via a network. Librarians use PCs for research, word processing, electronic mail, and a variety of administrative support services.

In 1992 the San Antonio Training Center began providing automation training specifically designed for judges and their secretaries. The Committee on Automation and Technology has approved a preliminary spending plan for fiscal year 1994 which budgets for three classes to train a total of 90 federal judges.

The Opinions Retrieval System (ORS) is currently being tested in several courts. ORS allows judges and their staffs to make a full-text search of a database that includes local orders and published and unpublished opinions of the court.

The Chambers Access to Selected Electronic Records (CHASER) case information system extracts data from the clerk's Integrated Case Management Systems (ICMS). CHASER allows district and magistrate judges and their staffs to produce a variety of reports on civil cases and to produce docket reports for both civil and criminal cases. CHASER is being installed in all courts equipped to accept the application. By the end of FY 1994, approximately 55 district courts will have implemented CHASER.

C. VISION FOR THE FUTURE

Chambers and Courtroom Applications. For chambers and the courtroom, the vision for the future includes enhanced training and support, improved case management, an integrated personal and court calendar, computerized systems in the courtroom, and electronic filing.

Library Applications. Library information and management systems are needed to provide chambers staff with access to the information resources available in and through the court library and to ensure adequate control of law book funds and inventories.

D. TOP TWO/FOUR MAJOR STRENGTHS

1. **Judges' Interest in Technology and Training.** The creation of the Chambers, Courtroom, and Library Umbrella Group for the first time provides a formal mechanism for judges to participate as technology users in the judiciary's automation program. Also, over 700 judges have demonstrated their interest in automation by asking to receive automation training.
2. **Availability of Case Management System in Chambers.** Since all courts have implemented automated docketing systems and many district courts are receiving CHASER, the needs of chambers staff for accurate, timely and user-friendly case and docket information can be met to some extent through continued implementation of CHASER.
3. **Flexibility in Court Resources.** Through decentralized funding, some local courts have shifted priorities to upgrade equipment and encourage staff to develop innovative software. The judiciary may be able to take advantage of local court initiatives by linking court networks to the Data Communications Network (DCN) and by selecting some of the locally developed software for national support and distribution.

E. TOP TWO/FOUR MAJOR PROBLEMS AND INHIBITORS

1. **Funding.** Adequate funding has not been set aside for chambers, courtroom, and libraries' automation projects, with the exception of CALR. More than eighty five percent of the Umbrella Group's budget is obligated to CALR under existing contracts.
2. **Training.** In the courts there are disparate levels of familiarity with and receptivity to uses of technology by judges. Ongoing automation training specifically geared to judges' work has not been readily available. Most judges and their staffs have not received formal automation training, and support staff have not been adequately trained.
3. **Delays in DCN Implementation and in Hardware Upgrades.** The DCN is the backbone needed to implement a variety of commercial software packages that would be useful to judges and their staffs. Delay in implementing the DCN and the decision not to wire courtrooms for the DCN present a significant impediment to meeting the goals of the Umbrella Group. Hardware must be upgraded so that judges, librarians, and their staffs can take advantage of rapidly developing improvements in both commercial and in-house hardware and software.
4. **Support.** Significant variations exist in equipment, software and support in different courts and within a single court. Support of automation will become

increasingly important as judicial officers come to rely routinely upon computers to accomplish chambers work.

F. TOP TWO/FOUR MAJOR OPPORTUNITIES

1. **DCN.** The DCN will provide an excellent opportunity for judges to communicate with others in the courts. It will provide the communications vehicle and backbone for applications that can be useful to judges and chambers staff.
2. **Chambers Case Management.** A cohesive, integrated system for the next generation of case management should improve communications between judges and clerks and between trial and appellate courts. Improved case management tools will help courts meet the goals set by the Civil Justice Reform Act and improve the judiciary's service to the public.
3. **Electronic Dissemination of Information.** Electronic dissemination of information, including opinions, local rules, docket information, court calendars, research information, and online services, offers an opportunity to streamline the research and preparation of judicial opinions, orders, and memoranda.

G. TOP TWO/FOUR MAJOR ISSUES

1. There is an on-going need to learn of, develop and experiment with emerging technologies that can be utilized to address the needs of judges, chambers staff, and librarians.
2. In prior years, the judiciary has used both the DOS and UNIX operating systems for court automation applications. A single comprehensive architecture and a focus on interface capabilities should guide the development of the next generation of automated case management systems.

H. TWO/FOUR MAIN COURSES OF ACTION

1. **Library.** Recontract the CALR systems for fiscal years 1996 through 2000. Acquire and install the Integrated Library System (ILS).
2. **Technology Training and Education.** Provide continuing automation training for judges and their secretaries and explore cost-effective training alternatives.
3. **Case Management.** Complete implementation of CHASER in all district court chambers that request it. Implement a chambers case management system for bankruptcy courts.

Chambers, Courtroom, and Library Umbrella Group

4. **Modern Electronic Office.** Stress the on-going need for system compatibility, integration, and interface in order to maximize efficiencies and realize cost savings both in chambers and in the courtroom. Upgrade systems so new software can be run in chambers as it becomes available. Standardized systems, at varying levels of capability matched to the sophistication and needs of particular judges or courts, should be established. Upgrades, add-ons and innovations should be readily and rapidly available when justified by identified benefits.

I. APPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASES 1-5)

1. **Computer Assisted Legal Research (CALR)** -- Provides computer assisted legal research services to the judiciary through the procurement of commercial services such as Lexis/Nexis and Westlaw and provides other online services such as Dialog and OCLC in circuit headquarters' libraries.
2. **Judges Office Automation Training Program** -- A hands-on, week-long automation training program to help judges become computer-literate; geared to novices.
3. **Integrated Library System (ILS)** -- An integrated library management system that provides judges and chambers staff online access to efficient and effective library and information resources and services and assistance in managing lawbook collections in libraries and chambers.
4. **PC/CHASER and DOS CHASER** -- A Unix-based system and a similar DOS-based system that facilitate access by judges and chambers staff to information contained in ICMS.
5. **Opinions Retrieval System (ORS)** -- A system to allow text searches of the court's opinions.

J. RESOURCES FOR UMBRELLA GROUP (\$000)

The Chambers, Courtroom, Library Umbrella Group has submitted the budget request shown on the following page to the Committee on Automation and Technology. Fiscal year 1994 funding is consistent with the FY94 Financial Plan approved by the Executive Committee in October 1993. Funding for fiscal years 1995-1998 is consistent with the FY95 Congressional Budget Submission approved by the Judicial Conference in September 1993.

Chambers, Courtroom, and Library Umbrella Group

<u>Project</u>	<u>FY 94</u>	<u>FY 95</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>
CALR	4880.1	5600.0	6800.0	8200.0	10000.0
Judges' Training	232.0	233.0	417.0	430.0	443.0
ILS	17.6	980.5	2472.9	714.0	714.0
Research and Development	55.0	100.0	200.0	200.0	200.0
CHASER (PC and DOS)	34.2	35.0	227.3	234.3	241.6
Bankruptcy CHASER	14.6	15.0	75.0	75.0	75.0
ORS	150.0	150.0	359.0	201.0	201.0
Electronic Courtroom	25.0	100.0	545.0	615.0	174.0
<u>Umbrella Meetings</u>	<u>56.0</u>	<u>68.0</u>	<u>124.0</u>	<u>128.0</u>	<u>132.0</u>
TOTAL	5464.5	7281.5	11220.2	10797.3	12180.6

K. UNAPPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASE 0)

This section lists projects yet to be approved by the Committee on Automation and Technology. Preliminary needs statements for all projects listed except Bankruptcy CHASER were approved by the umbrella group on August 13, 1993.

1. **Electronic Chambers Laboratory** - AO and training center personnel will work closely with three district courts, one appellate court, and one bankruptcy court to integrate existing systems and new commercial products in chambers.
2. **Electronic Courtroom** - This project defines minimal standards and acquires a limited number of integrated systems to be used in the trial courtroom. The electronic courtroom includes: Court Reporting (real-time, audio, and video); Imaging Exhibits; Links to Chambers Systems and Law Firm Systems; Video Tape Display; and Computer Simulations.
3. **Bankruptcy CHASER** - This project would provide bankruptcy judges with a case management system to facilitate access by chambers staff and case managers to ICMS information.
4. **Integrated Electronic Calendar** - This project will integrate judges' personal and court calendars.
5. **MJSTAR** - This project will integrate the statistical reporting for magistrate judges with ICMS, allowing for documentation of hours spent in court proceedings and elimination of the JS 43 monthly workload reporting form.
6. **Electronic Case Files** - Judges, chambers staff, clerk's office personnel, and, possibly, the public could access, search text, and review electronic case files via computer.

DISTRICT CASE MANAGEMENT AND STATISTICS UMBRELLA GROUP

A. SCOPE

The District Case Management and Statistics Umbrella Group recommends how information technology can be applied to case information and management systems. The Group's scope encompasses, but is not limited to, the establishment of priorities, recommendation of analyses, budget proposals, long range planning, development, implementation, and maintenance of automated systems to improve the use and management of case information and management in the district courts.

B. CURRENT STATUS

The following applications presently support case management and statistics requirements in most of the district courts. Numerous trial courts, on their own initiative, have developed their own applications to meet their unique information management and case processing needs.

SYSTEM	Installed 1992	Scheduled 1993	Scheduled 1994	Total
Attorney Admissions	90	0	0	90
Case Assignment System	57	10	N/A	N/A
Central Violations Bureau	2	0	0	2
Chambers Access (CHASER)*	12	20	20	TBD
ICMS Civil System	89	0	0	89
Court Reporter System	12	4	N/A	N/A
ICMS Criminal System	34	33	TBD	TBD
Naturalization Serv. (NATZ)	40	N/A	N/A	N/A
Public Access (PACER)	46	44	0	90
STARS/Index System (SIRS) ¹	-34	-25	0	0
Records Management*	57	N/A	N/A	N/A
Court Financial Systems*				

* The applications listed above support case management in the district courts; they are funded by the Chambers, Courtroom and Library, Administrative and Human Resources and the Financial Systems Umbrella Groups, respectively.

¹ SIRS is being phased out and moved to new platforms as Integrated Case Management Systems (ICMS) CIVIL/CRIMINAL expands.

Note: The software applications shown as Not Applicable (N/A) are installed as requested on the court's existing hardware. TBD (To be determined.)

C. VISION FOR THE FUTURE

The potential for automating federal trial court case information and statistics is limited only by the constraints on the collective imagination of those who manage and administer those courts. Where that potential once was restricted by technological barriers, it now is bounded by human concern over control, fear of the unfamiliar, and resistance to change. The vision of the courts must promote the erosion of these concerns by educating the managers and administrators and by pursuing an automated environment in which seamless interfaces and user-defined tools significantly reduce the management burden of collecting, securing, massaging, and formatting accurate case information and statistics.

D. TOP TWO/FOUR MAJOR STRENGTHS

1. The major strength of the district courts is their experienced and educated personnel.
2. Central and remote electronic access to case information serves an important role in meeting the needs of the various court units, the bar, and the public.
3. Although dated and somewhat cumbersome, ICMS Civil/Criminal is operational and provides fundamental case management and statistical information for the federal trial courts.

E. TOP TWO/FOUR MAJOR PROBLEMS AND INHIBITORS

1. Inadequate funding adversely affects the ability of the federal trial courts to avail themselves of current developments in automated information management and communications technology.
2. District court operations are effectively limited by ICMS applications whose functionality is incomplete, maintenance-intensive, and cumbersome; in a limited number of courts, those limitations are compounded by equipment that has reached its functional and storage capacity limitations.
3. The lack of consistent and comprehensive data standards for the Judicial Branch inhibits information sharing and management efficiency; moreover it minimizes the effectiveness of court unit automation resources.

F. TOP TWO/FOUR MAJOR OPPORTUNITIES

1. The Information Resource Management (IRM) planning and development process, coupled with the identification of automation goals and objectives, provide the

district court community with a means for articulating user needs and ensuring the development of systems that respond to user requirements.

2. Systems project management will be clarified and monitored through the use of life-cycle management. Greater district court involvement in this process will lead to the creation of systems whose design is informed by users and whose functionality will respond to their needs.
3. State-of-the-art technology will enhance district court operations by reducing maintenance expenditures, improving operational efficiency, and providing applications modification flexibility at the individual court level.
4. The Judicial Branch has embarked upon an initiative to define an overall systems architecture and common data standards. This initiative has the potential to establish greater technical cohesiveness and data exchange compatibility among the court units that comprise the Federal Judicial System.

G. TOP MAJOR ISSUES

1. The Judicial Branch requires a comprehensive and clearly defined architecture to guide the development of the next generation of integrated automated case management systems. To delay development of such an architecture frustrates efforts to upgrade current system functionality and inhibits efforts to develop a coherent plan for the transition to new systems.
2. While the Judicial Branch has reached a consensus that the benefits of the Data Communications Network (DCN) outweigh the costs and wishes to proceed, adequate funding has not been forthcoming. Therefore, guidance on how to plan for the interim period until the wide area and local area networks are fully operational and integrated is needed.
3. The Judicial Branch does not have a comprehensive set of recommended standards and objectives that govern the purchase, maintenance, disposition, and replacement of office automation equipment. Each court unit makes such decisions on its own and on the basis of its values, perspectives, and planning cycles. This default approach to systems planning and implementation is problematic and potentially harmful; at a minimum, it results in differing levels of efficiency and effectiveness.

H. TWO/FOUR MAIN COURSES OF ACTION AND PRIORITIES

1. Further define and complete the ICMS Improvements Project (IIP) strategy statement; review existing ICMS modification requests and recommend for

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inclusion in IIP those that promise the greatest benefit for the largest number of courts at a minimal investment of cost and effort.

2. **Reduce ICMS maintenance efforts for the CIVIL/CRIMINAL software by limiting modifications to those needed to (i) correct vital software deficiencies, and (ii) implement rule and other necessary changes mandated by Congress or the Judicial Conference. Resources freed by following this protocol will be channeled to other priorities.**
3. **Participate in the data administration efforts now underway which will include the development of comprehensive data standards and a stated architecture.**
4. **Replace the mini computers on which the ICMS applications operate with 486 PCs as quickly as possible.**

I. APPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASES 1-5)

1. District Case Applications (DCAP)

A compilation of software applications utilized by the district courts. Related sub-systems include:

- a. **Attorney Admissions** A system designed to manage information about attorneys admitted to practice before the court;
- b. **Case Assignment System** A system that automates the random assignment of district judges and magistrate judges to cases filed;
- c. **Central Violations Bureau (CVB)** A system that centralizes the processing of petty violation notices and the accounting of collected collateral;
- d. **ICMS Civil** A civil case electronic docketing and case management system. Also provides judicial statistics for transmission to the Administrative Office and local court use;
- e. **Court Reporter System** A system that helps the court manage a variety of information about court reporters, but only courts with Court Reporter Coordinators utilize the system;
- f. **ICMS Criminal** A criminal case electronic docketing and case management system. Also provides Speedy Trial Act monitoring and judicial statistics.

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- g. **Naturalization System** This system assists courts in managing data related to processing naturalization petitions.
 - h. **Public Access to Court Electronic Records (PACER)** PACER provides members of the public who have PCs with electronic access to selected ICMS case information. A small fee is charged for this service.
 - i. **Stars/Index Replacement** A system that is being phased out as ICMS Civil and Criminal expands.
2. **Automated Jury Selection**
Various vendor provided systems that are contracted out to prepare the master and qualified juror wheels, and print qualification questionnaires and summonses.
 3. **ICMS Improvements Project**
A project to improve the underlying structure of the ICMS code.
 4. **Jury Modernization Project**
A project to provide a standardized, flexible, fully integrated, automated jury system.
 5. **Criminal Justice Reform Act**
An extraction and formatting program that produces reports to meet Congressional requirements.
 6. **Statistics Query Improvement**
A project to improve access to all Statistics Division computerized data in order to maintain and improve response time for the continually increasing volume of requests for information.

J. RESOURCES FOR THIS UMBRELLA GROUP (\$000)

Project	FY 94	FY 95	FY 96	FY 97	FY 98
ICMS Improvements (IIP)	22.5	18.0	240.0	240.0	240.0
Jury Modernization	0.0	500.0	1,805.3	1,378.0	937.3
Automated Jury Selection	1,171.2	1,237.0	300.0	800.0	300.0
DCAP CIVIL/CRIMINAL	5,240.5	5,565.7	5,583.4	5,756.5	6,950.6
CIVIL/CRIMINAL Cyclical Replacement	692.1	720.0	753.7	777.1	801.2
Umbrella/Subgroup Travel	75.1	108.0	115.4	119.0	122.7
TOTAL	7,201.4	8,148.7	8,797.9	9,070.6	9,351.8

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K. UNAPPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASE 0)

1. District Case Application (DCAP)

a. Electronic Dissemination of Opinions System (EDOS)

EDOS is a system which could provide for the dissemination of district court information such as recently published opinions, court calendars, local rules and procedures, press releases, and general notices.

b. Next Generation Integrated Court Management System

The Futures Subcommittee of the Civil/Criminal User Group has identified the need for an integrated court management system for the federal judiciary. The subcommittee plans to document requirements for court management, including the investigation of utilizing commercially available software.

FINANCIAL UMBRELLA GROUP

A. SCOPE

The Financial Umbrella Group has cognizance over nine major financial system areas which are operational or in development. These system areas include:

1. **Court Financial System-1 (CFS-1):** This system provides basic accounting, fund control, case related financial management and jury accounting for district courts, bankruptcy courts, and the various other court units within the district where installed. CFS-1 is deployed on Unix/Unify systems at 46 district courts and has been in operation for more than ten years.
2. **Court Financial System-2 (CFS-2):** This system provides basic accounting, fund control, case related financial management and jury accounting for courts and court units. CFS-2, deployed to eleven pilot courts and associated units, tested the feasibility of a PC / Clipper based replacement for CFS-1. This system operates on Novell / PC based systems.
3. **Automated Spending and Accounting Package (ASAP National):** This system, formerly known as the Interim Budget and Accounting System for the Courts (I-BASC) and currently in development, is a small, PC based fund accounting application to support budget decentralization. ASAP National, an interim system for small court units, will be replaced by the CFS-1 Long-Term Replacement product.
4. **CFS-1 Long-Term Replacement System (LTR):** This system, formerly known as Long-Term Budget and Accounting System for the Courts (LT-BASC) and currently in development, is the approved, long-term replacement for CFS-1 and CFS-2.
5. **Central Accounting System (CAS):** This system, operational on the Judiciary Central Processing System (JCPS), is the central financial system of record for Administrative Office (AO) and Court accounting transactions.
6. **Central Budget Database (CBD):** The system, currently operational on a Unix / FoxBase based system, supports the collection and transmission of budget data from the AO to the Courts.
7. **Criminal Justice Act Payment System (CJA):** This system, operational on the JCPS, supports the collection of panel attorney vouchers and their payments.
8. **Travel Voucher System:** This operational and PC based system supports the preparation and submission of travel vouchers.

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9. **Electronic Disbursing System Pilot:** This pilot program will test the feasibility of various payment mechanisms including electronic funds transfers.
10. **Miscellaneous PC Support Applications:** This area includes the Statement of Accountability and Transactions system (STAT), the Payroll Projection System (PPS), and other miscellaneous PC based support applications. These applications are periodically updated and released to court or AO users, as appropriate.

B. CURRENT STATUS

The operational court financial system (CFS-1) has reached the end of its productive life-cycle and is unable to keep pace with the proactive analysis demands placed on a modern financial system, the specific court unit needs of budget decentralization and ongoing day-to-day operational changes. Therefore, the BASC program, and subsequently the ASAP National and LTR programs, were initiated to develop a CFS replacement. As part of this effort, budget data collection and transmission requirements (e.g. CBD functions) are also being evaluated.

The Central Accounting System (CAS), based on the American Management System's Federal Financial System (FFS), has recently undergone an upgrade to the vendor's release 5.0.

The Criminal Justice Act (CJA) payment system has seen significant growth in the reporting demands placed on the system. Originally conceived and implemented between 1981 and 1982 as a centrally controlled and operated system, the system was modified in 1987 to allow each court to enter and certify panel attorney vouchers. Current requirements placed on the system far exceed its capability and capacity, and the system is in need of replacement. Short term improvements are currently being developed and implemented. A needs analysis is planned for FY 94 to determine the long-range requirements for this system.

Several PC based applications controlled by the Financial Umbrella Group (e.g. STAT, PPS, etc.) are on annual update cycles, based on changes in user requirements.

C. VISION FOR THE FUTURE

The Financial Umbrella Group desires to field a set of highly functional, integrated financial applications which achieve the accounting, budgeting and financial analysis requirements of the Federal judiciary. In general, the set of financial systems should:

1. Achieve a level of financial systems integrity consistent with the Chief Financial Officer's Act;

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2. Minimize manual reconciliation processes via automated and seamlessly integrated data flows between the AO and court units;
3. Provide timely data to support operational, analytical and budgeting functions. Furthermore, as a goal, required and authorized data should be available at the user's desktop for incorporation into and analysis by commonly used software tools (e.g. spreadsheets, database programs, etc.);
4. Provide financial information to support unit costing of court-provided and court-required services;
5. Support general user criteria, including ease of use, timely reporting of data and minimal training requirements; and,
6. Support general system criteria which include modular design and implementation to support incorporation of new and changing requirements, salable architecture so that common systems support both the small and large court units, and concepts of standardized data dictionaries and data reuse.

D. TOP TWO/FOUR MAJOR STRENGTHS

The most significant strength toward achieving the vision and objectives for the judiciary's financial systems rests in the talented team of court and AO personnel assembled to address financial systems issues and the strong attitude of cooperation between court and AO senior management in recognizing the need to upgrade current systems. The results of this strength, demonstrated earlier this year at the BASC/CFS Joint Application Development (JAD) exercises, yielded concurrence in direction for developing financial systems and in establishment of development priorities.

E. TOP TWO/FOUR MAJOR PROBLEMS AND INHIBITORS

The Financial Umbrella Group controls financial systems on a variety of platforms ranging from PC to mainframe based systems. Furthermore, these systems were developed as standalone systems and do not incorporate concepts of data and functional integration, common user "look and feel" and other characteristics of modern information systems. Although this situation will be rectified as systems are replaced, the maintenance of existing judiciary systems still has the following limitations and inhibitors:

1. The antiquated nature of the majority of existing financial systems including a substantial list of deferred corrective actions and system enhancements;
2. The poor state of systems and operational documentation;

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3. Inadequate historical funding base and an even more uncertain future funding profile necessary to undertake several simultaneous systems upgrades; and,
4. Antiquated, vendor proprietary and expensive to maintain computer platforms and development tools.

F. TOP TWO/FOUR MAJOR OPPORTUNITIES

Based on the vision for the future outlined in Section C, the Financial Umbrella Group believes its greatest opportunity is the development of new systems which support the integration of user functionality and financial data between all financial applications. To improve proactive financial analysis, as well as required accounting and reporting tasks, newly developed and deployed systems will support a common "look and feel" for user interfaces and common data elements to support information exchange between systems. Historically, applications were developed without substantial regards for these issues.

G. TOP TWO/FOUR MAJOR ISSUES

1. Due to the antiquated nature of existing financial systems, available resources are constantly taxed to keep these systems operational. As the Financial Umbrella Group has responsibility for operational systems, this issue has the effect of draining resources, as well as management attention, from new systems development.
2. As the judiciary changes its processes, the demands on its financial information systems will also change. As a result, changes in policy and processes must be carefully assessed from the perspective of information systems to ensure that the systems are capable of supporting intended outcomes. As an example, the Accounting and Financial Systems Division (AFSD) within the AO has undertaken a project to determine what information, and at what level of detail, is required by the court units and the AO to achieve statutory as well as the management goals of budget decentralization. In another example, the Office of Automation and Technology's (OAT) goal of consolidating computer platforms within the courts requires careful coordination and cross-application testing to ensure no disruptions occur to operations.

H. TWO/FOUR MAIN COURSES OF ACTION

The Financial Umbrella Group has authorized AFSD, in coordination with OAT, to undertake the following actions regarding the judiciary's financial systems:

1. Based on the Financial Umbrella Group's highest priority, to stabilize existing operations, two tasks dominate this main course of action. As task one, CFS-1 is being ported from nine obsolete Motorola Four Phase computers to Intel based

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i486 equipment. This task, scheduled for completion in early FY 94, has the benefit of reduced maintenance costs and will allow all 46 CFS-1 courts to operate at the same application release version. Task two, to improve CJA internal application audits and procedural controls, is considered an emergency temporary corrective action until a detailed CJA review is completed and long-term recommendations are made.

2. Complete development of the ASAP National and LTR systems and initiate court deployment. The ASAP National system, scheduled for completion in mid to late FY 94, supports court decentralization. Depending on funding, the LTR system would begin deployment in FY 96 and be completed in FY 97.
3. Redevelop and replace the current CJA system.

I. APPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASES 1-5)

1. ASAP National development project.
2. CFS-1 Long-Term Replacement system.
3. CFS-1/CFS-2 operations and maintenance.
4. CJA operations and maintenance.
5. CJA short-term improvements project.
6. Central Budget Database project.
7. Automated Travel Voucher project.
8. Miscellaneous PC-based systems:
 - a. Statement of Accountability and Transactions system (STAT)
 - b. Payroll Projection System (PPS)
9. Central Accounting System (CAS) [AO Direct funded]
10. Electronic Disbursing System Pilot

J. RESOURCES FOR THIS UMBRELLA GROUP (\$000's)

The figures shown below for FY94 reflect the funding approved by the Executive Committee of the Judicial Conference of the United States. The figures shown for FY95 reflect the funding approved by the Judicial Conference of the United States for submission to the United States Congress. The Financial Umbrella Group has requested automation funding as outlined below for FY96 through FY98 to achieve its objectives for the judiciary. This funding, however, does not include resources to develop a replacement for CJA, a likely possibility. Depending on the results of a CJA requirements analysis, future budgets may include additional CJA funds. Also excluded are CAS budget figures. CAS is funded from the AO Direct budget and is not shown here. Furthermore, the funding below does not contain allowances for operations and maintenance of court or AO based equipment. Currently, these funds are held by other automation umbrella groups, but may be transferred to the Financial Umbrella Group in the future.

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<u>Project</u>	<u>FY 94</u>	<u>FY 95</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>
ASAP National	439.2	0.0	0.0	0.0	0.0
LTR	600.0	1,396.0	1,980.0	3,880.0	1,754.8
CFS-1/CFS-2 O & M	195.2	100.0	104.8	100.0	0.0
CJA O & M	244.0	100.0	106.0	100.0	100.0
CBD	97.6	100.0	52.4	50.0	50.0
Travel Voucher	4.9	5.2	5.5	5.6	5.7
Misc. PC Applications	9.8	10.5	11.2	11.5	12.0
Disbursing	25.2	24.0	37.8	0.0	0.0
<u>Umbrella Group Travel</u>	<u>19.5</u>	<u>20.0</u>	<u>20.0</u>	<u>20.0</u>	<u>20.0</u>
TOTAL	1,635.4	1,755.7	2,318.2	4,167.1	1,942.5

K. UNAPPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASE 0)

1. CJA Replacement System.

OFFICE AUTOMATION AND NETWORKS UMBRELLA GROUP

A. SCOPE

The Office Automation and Networks Umbrella Group serves a cross-functional purpose to address the needs of personnel in the judiciary who use office automation, network and telecommunications tools to accomplish their work. The scope of this group covers office automation applications and the underlying systems/networks necessary to deliver them, e.g. Data Communications Network (DCN), WordPerfect word processing. The scope of this group also includes the telecommunications (voice) program. While most umbrella groups cover vertical segments of the automation program, the Office Automation and Networks Umbrella Group covers cross-cutting horizontal user needs in all functional areas. This group deals with the personal computers used by the courts, although non office automation applications accessed through these workstations come under the jurisdiction of other functional umbrella groups. This group also deals with local area networks installed in court offices, as well as the overall DCN implementation. Finally, this group deals with telephone systems serving the needs of court users. The group focuses on the development, promotion and sharing of office automation tools that can be used by most office automation users. However, the group also addresses the special needs and requirements of Special Interest Groups such as Senior Staff Attorneys and Federal Public Defenders.

B. CURRENT STATUS

1. Office Automation (OA)

- a. **Installation** — Currently, almost 28,000 personal computers (PCs) are installed in the courts. An Office Automation Certification Database is maintained by the Integrated Technology Division (ITD) to track the type and location of these PCs. The use of this modern technology by a number of court users is, however, often limited to applications such as word processing. Other court users have developed applications that perform some of the important administrative support work of the courts, including complex databases with monitoring, tracking, reports and other management capabilities. These more sophisticated applications need to be promoted and shared within the court family, as appropriate.
- b. **Funding** — Funding for maintenance and supplies is distributed by ITD to the courts in an annual allotment based on the number of PCs in any given court or office. Funding is also provided by ITD on request to courts to acquire office automation equipment for new judge positions. Additional funding is provided by ITD, if available, for training and cyclical replacement of PCs. These funds, if available, are distributed after approval of the Automation Spending Plan by the Committee on Automation and Technology.

Office Automation and Networks Umbrella Group

c. User Sub-groups

- (1) The Federal Judiciary Office Automation Users Group promotes the sharing of office automation information to encourage and enhance the use of office automation and network technology in the courts. This users group consists of three tiers: National office Automation Users Group, Circuit Office Automation Users Groups, and Local office Automation Users Groups. The local groups send representatives to the circuit groups which in turn send representatives to the National Group. This organization ensures that information regarding office automation and network solutions and problems flow up and down the three tiers to the benefit of all court users.
- (2) Other Subgroups for special interest groups such as Senior Staff Attorneys and Federal Public Defenders have been established to address the unique needs of groups.

2. Data Communications Network (DCN):

- a. **Installation** — In June 1992, the Committee on Automation and Technology approved a judiciary-wide implementation plan for the DCN. The actual schedule for completion of judiciary-wide implementation of the DCN will depend on the level of funding provided for this purpose in any given fiscal year.

Currently, the First Stage Acceptance Test (FSAT) sites in the Sixth Circuit Court of Appeals, D.C. Circuit and the Eastern District of Michigan have been installed. The DCN is also installed in the Administrative Office (AO), as well as in 11 of the 66 court financial system sites. Finally, the DCN is installed at the Training Center in San Antonio for the Judges Office Automation Training classes. In FY 1994, we anticipate initiating installation in the remaining court financial system sites as well as in five or six communication hub sites at circuit headquarters in the 11th, 4th, 10th, 8th, 5th and 1st Circuits.

- b. **Funding** — Funding is held centrally by the AO and used to implement the DCN according to the approved implementation plan and based on available funding. In FY 1994, approximately \$6 million has been requested. Funding has also been identified for operations and maintenance support for the installed DCN sites.

- c. **User Sub-group** — The DCN Subgroup which consists of one representative from each of the twelve circuits advises ITD with regard to configuration and technical aspects of the DCN.

3. **Telecommunications (Voice) Program:**

- a. **Installation** — All courts have installed telephone systems to support their users. These systems need to be expanded to add new users or move users as a result of relocation of the court unit. These systems must also be maintained and repaired or replaced as necessary. There is a Circuit Telecommunications Coordinator position in each circuit. Telephone coordinators designated in each court manage the court telephone programs. All FTS2000 services are ordered centrally by the Designated Agency Representative in the ITD.
- b. **Funding** — Funding is provided for the support of local telephone services costs, commercial long distance services, FTS2000 services, follow on services (relocations, maintenance and repair) and new acquisition. Local telephone services, commercial long distance and follow on services funding is allotted to the courts at the beginning of each fiscal year. FTS2000 funding is held centrally as the judiciary receives only one consolidated bill. Funding for the acquisition of new systems or for major relocations of existing systems, is requested by the courts and approved by the ITD on a case-by-case basis.
- c. **User Sub-group** — The Telecommunications Subgroup which consists of one representative from each of the twelve circuits advises ITD with regard to telephone systems and other telecommunications topics.

C. **VISION FOR FUTURE SYSTEM**

With the implementation of the DCN judiciary-wide, the PCs installed in the courts can be used to access all of the automated tools a user will require to accomplish his/her work. This platform, PCs connected by the DCN, will be the cornerstone for most future automation applications in the judiciary. The technology used for office automation and the DCN will be enhanced as appropriate based on technology improvements and on available funding.

Similarly, telephone systems in the courts must be managed in a cost effective way and incorporate appropriate new technologies based on court evaluations and funding availability.

D. TOP TWO/FOUR MAJOR STRENGTHS

1. Expertise, knowledge and commitment of court personnel.
2. Flexible configuration of the DCN to facilitate meeting new court requirements for data communication network capabilities.
3. Flexible procurement vehicle for office automation equipment.
4. An installed base of almost 28,000 PCs in the courts and as many as 500 Novell Local Area Networks, as well as the expertise of the PC Coordinators in the courts.

E. TOP TWO/FOUR MAJOR PROBLEMS AND INHIBITORS

1. **Maintenance of critical level of program resources:** Resources, funding and staff to support the office automation, data communications network and telecommunications (voice) programs, both in the courts and in the AO, need to be assured. Funding for these three programs has historically been uncertain making long range planning, e.g. cyclical replacement program, problematic.
2. **Education of court personnel with regard to the potential benefits of office automation, networks and telecommunications, as well as with regard to security practices which need to be applied:** In order to achieve efficient and effective use of office automation, network and telecommunications technologies to support the work of the courts, court personnel need more understanding of the potential uses of these technologies.
3. **Coordination of office automation and network efforts throughout the judiciary:** There is currently duplication of effort with regard to OA and network applications and solutions. Better coordination of these efforts will increase the benefits of these two technologies. Similarly, there are benefits that can be derived by the coordination of telecommunications, both voice and data.
4. **Consistency of hardware, software and related applications throughout the courts:** Greater consistency and interoperability of the hardware and software utilized in the courts will facilitate the achievement of a judiciary-wide, integrated platform for all court users.

F. TOP TWO/FOUR MAJOR OPPORTUNITIES

1. Through the work of the Office Automation and Networks Umbrella Group, we can coordinate the knowledge and expertise of the Federal Judiciary Office

Automation Users Group and the DCN Working Group to enhance the planning, implementation, support and use of office automation and the DCN.

2. Reach out to other functional user groups to educate them on the beneficial uses of the DCN to enhance the planning and operations of their respective systems and applications through the efficient and effective transfer of data and information.
3. Through the promulgation of comprehensive telecommunications guidelines and the establishment of telecommunications training workshops, the courts can begin to manage telephone systems more efficiently and effectively.

G. TOP MAJOR ISSUE

There is currently some discussion regarding the number of telephone lines appropriate for court units. A suggested guideline was distributed to the courts for comment in June 1993. It is anticipated that a wide range of alternatives will be suggested. A final guideline will need to be developed based on the court responses.

H. TWO/FOUR MAIN COURSES OF ACTION AND PRIORITIES

1. Installation of the *DCN in the courts as quickly as funding will allow.
2. Enhanced use of OA users groups, Bulletin Board Systems (BBS), Integrated Technology News and clearinghouse efforts to educate and share information regarding the uses of OA and networks.
3. Publication of telecommunications guidelines for the courts.

I. APPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASES 1-5)

1. **Office Automation Program.**
 - a. Maintenance and Supplies to support the existing base of PCs in the courts.
 - b. Cyclical Replacement Program for aging installed base of PCs
 - c. Promotion of sharing of OA information
 - (1) Identification and distribution of DOS-based applications through a clearinghouse/catalog of DOS-based applications
 - (2) BBS

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(3) Federal Judiciary Office Automation Users Group

(4) Integrated Technology News

d. Management of the existing National Office Automation Contract and a competed procurement for a new contract for the use of the courts

2. Judiciary-wide DCN Program

a. Management of DCN Contract

b. Supervision of implementation of the DCN in the courts. operation of the DCN in the AO.

c. Engineering Change Proposals (ECPS) to improve the configuration and operation of the DCN.

d. Judiciary-wide implementation of the DCN based on funding availability

3. Telecommunications (Voice) Program

a. Guidelines for court management of telecommunications programs

b. Evaluation of court requests for major relocations and acquisitions of new telephone systems

c. Development of a telecommunications training workshop program for the courts

J. RESOURCES FOR THIS UMBRELLA GROUP (\$000)

Judiciary Automation Fund

<i>DCN and OA</i>	<i>FY 94</i>	<i>FY 95</i>	<i>FY 96</i>	<i>FY 97</i>	<i>FY 98</i>
Travel (2100)	288.0	288.0	281.1	303.8	311.7
Transportation of Things (2200)	0.0	0.0	0.0	0.0	0.0
Rent/Communications/Utilities (2300)	1,396.7	1,147.0	869.0	891.6	914.8
Printing/Reproduction (2400)	0.0	0.0	0.0	0.0	0.0
Other Services (2500)	15,269.0	18,958.6	17,398.7	21,906.4	23,677.4
Supplies (2600)	7,627.1	6,594.0	6,868.7	8,500.0	8,500.0
Equipment (3000)	6,776.3	25,536.3	25,577.7	29,199.9	29,569.1
TOTAL	31,357.1*	50,523.9**	50,995.2	60,801.7	62,973.0

* Includes \$1,607,000 for ICMS leased lines and wiring and \$292,000 for VAN services.

** Includes \$1,671,800 for ICMS leased lines and wiring and \$300,000 for VAN services.

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<u>Telecommunications (Voice)</u>	<u>FY 94</u>	<u>FY 95</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>
Travel (2100)	0.0	0.0	TBD	TBD	TBD
Transportation of Things (2200)	0.0	0.0	TBD	TBD	TBD
Rent/Communications/Utilities (2300)	30,306.0	33,468.0	TBD	TBD	TBD
Printing/Reproduction (2400)	0.0	0.0	TBD	TBD	TBD
Other Services (2500)	2,158.0	3,338.0	TBD	TBD	TBD
Supplies (2600)	0.0	0.0	TBD	TBD	TBD
<u>Equipment (3000)</u>	<u>5,501.0</u>	<u>5,644.0</u>	<u>TBD</u>	<u>TBD</u>	<u>TBD</u>
TOTAL	37,965.0	42,450.0	TBD	TBD	TBD

K. UNAPPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASE 0)

None at this time

PROBATION AND PRETRIAL SERVICES CASE MANAGEMENT AND STATISTICS UMBRELLA GROUP

A. SCOPE

The Functional Strategy Statement for this Umbrella Group encompasses the Probation and Pretrial Services Case Tracking System (PACTS), the national probation and pretrial services statistical systems maintained by the Administrative Office (AO), and national PC applications. Probation and pretrial services offices are also users of computer assisted legal research services (CALR). Unique to probation and pretrial services offices case management is access to databases for retrieval of criminal history data pertaining to federal defendants and offenders, including the National Crime Information Center (NCIC) and local law enforcement and court databases. Non-automated procedures for case management used by offices also are a part of the functional strategy.

The Strategy Statement encompasses the National Fines Center and its database of offenders' accounts for court-imposed obligations. This umbrella group and the District Case Management and Statistics Umbrella Group have established liaison in this project.

B. CURRENT STATUS

Probation and pretrial services offices have significantly invested in automated capabilities with over 6,500 personal computers nationwide and 119 local area networks in 48 districts.

PACTS is operational in 19 courts. It is in various stages of implementation in 22 other courts. In 12 courts it is dependent on equipment that is near the end of its life cycle and is expensive to maintain. Data are extracted from PACTS for transmittal to the national probation database. Offices not yet operational with PACTS use dialup access to the AO's central computer to enter required national case statistical data. The interface from PACTS to the national pretrial services database is scheduled to become operational in FY 93. Various other data required by the Probation and Pretrial Services Division are submitted via paper forms. A project is underway to convert the PACTS software from a UNIX to DOS environment.

All districts with the exception of Guam have inhouse access in their headquarters office to the NCIC national database. A priority for this initiative is to expand access to divisional offices where required.

The Eastern District of North Carolina has been pilot testing the Fines Center System (FCS) since September 1992.

C. VISION FOR THE FUTURE

A modern system for the user is required which will automate probation and pretrial services offices, while allowing flexibility and expansion. This integrated, standardized

**Probation and Pretrial Services Case Management
and Statistics Umbrella Group**

case management system must provide for 1) interfaces with other systems to permit data sharing; 2) transferability of data from one district to another; 3) a national case index with broad search capability; 4) required security of sensitive defendant/offender data; and 5) incorporation of up-to-date technology including scanning, bar coding, and capture of client images. (New projects identified for FY 95 by this Umbrella Group include Barcoded Specimen Tracking and Image Processing for Offender Identification.)

In collecting court-ordered obligations, probation officers and U.S. Attorneys would have access to accurate and timely financial data on offender accounts maintained by the FCS. To ensure the integrity and timeliness of data, FCS must also interface with other judiciary and law enforcement systems. Electronic transfers of information will ensure that all systems have the most recent information on cases and would save resources by streamlining procedures, providing users reliable data, and eliminating duplicate efforts of data input.

Implementation of architecture and data standards, along with the Data Communications Network (DCN), will facilitate the delivery of probation and pretrial services data to a variety of users such as probation and pretrial services staff, the AO, the U. S. Sentencing Commission, and the National Fines Center. Upgrading of the National Crime Information Center (NCIC) by the Federal Bureau of Investigation and expanded access to the Bureau of Prisons SENTRY inmate management system will improve information availability to probation and pretrial services offices.

D. TOP TWO/FOUR MAJOR STRENGTHS

1. **Personnel Resources.** Administrators and staff in probation and pretrial services offices, supported by technical professionals, continue to demonstrate an extensive commitment to the use of automation. Support continues for development of standard PC applications for common functions and a comprehensive, integrated data system.
2. **PACTS Implementation.** The majority of districts express willingness to implement PACTS as soon as possible. The current UNIX-based version, managed by the Probation and Pretrial Services Division in coordination with the PACTS Subgroup of this Umbrella Group, is a core system which reflects user involvement, careful design, attention to requirements of the user interface, along with training and user support services. As a core case management system, it will continue to serve current users while also providing a viable framework for the DOS-PACTS project.
3. **The National Fines Center Implementation.** The FCS is comprised of an accounting system that records income and notifies the Treasury Department about disbursement of restitution; a billing system; and a financial system that executes

complex interest and penalty calculations required by statute. FCS will replace several duplicate and manual functions that are being performed in the Judiciary and Executive Branches. FCS can also generate national statistics.

4. **Commitment to Enhancing Automation Capability.** With decentralized budgeting and the capability to reprogram funds, probation and pretrial services managers continue to upgrade aging 286 personal computers and implement local area networks in advance of the DCN; the networks would support a LAN-based PACTS as well as access to various other data systems, including the National Fines Center.

E. TOP TWO/FOUR MAJOR PROBLEMS AND INHIBITORS

1. **PACTS Funding.** PACTS, endorsed as the standard national data collection system for probation and pretrial services offices by this Umbrella Group and the Criminal Law Committee, will not be deployed to all districts until FY 96 at the earliest. For the next group of PACTS expansion districts to be named, the Probation and Pretrial Services Division will not, in all probability, be able to provide a staff position to a district for PACTS support due to insufficient funding. Twelve courts are running PACTS on aging host computers which require replacement, again requiring funding commitment.
2. **Complexity of the National Fines Center Implementation.** FCS will assist the U. S. Attorneys and probation officers in their responsibility of enforcing the court-imposed financial obligations. FCS administers collection and disbursement of offender payments and maintains case account information. Users must have on-line access. This requires a multitude of complex user interfaces to give selective access to individual user groups for security reasons. The satisfaction of all user needs requires integration of these needs in FCS which in turn requires extensive planning and coordination with various users.
3. **Constraints on Expanded and Upgraded Access to Law Enforcement Databases.** Officers depend on access to a variety of law enforcement and local court databases to obtain arrest, disposition, and warrant information. Current funding does not permit expansion of access to all offices which require it, nor will current funding provide the means for offices to acquire upgraded access equipment for the FBI's NCIC 2000 project.
4. **Officers' workloads increasing in volume/complexity.** This is occurring while funding to support staff increases is being curtailed. The mandate is to do more with less.

F. TOP TWO/FOUR MAJOR OPPORTUNITIES

1. **Efforts Toward Systems Integration.** The concept of providing interfaces among PACTS, the National Fines Center, and other systems minimizes duplicate data capture and statistical reporting, while providing secure, validated data to probation and pretrial services users. The Umbrella Group supports efforts to define standards for systems compatibility.
2. **Review of AO National Systems for Probation and Pretrial Services.** In the AO, enhancement of the existing statistical systems or conversion to an alternative system supporting probation and pretrial services workload functions is necessary to provide increased access to data, including the capability to retrieve data to use in support of budget justifications and workload statistical analyses on a national basis.
3. **Accelerated Implementation of the National Fines Center.** FCS will provide relief to offices, such as U.S. Attorneys, Probation, and the District Court, any or all of which currently collect monies, maintain payment data, and write checks for restitution. FCS will save time and money by collecting, posting, and reconciling account information in a timely manner, and will maintain standard, national debt and payment data at one location. It will track financial data and be able to generate statistics that will be valuable to the judiciary management.

G. TOP MAJOR ISSUES

1. Adequate funding.

H. TWO/FOUR MAIN COURSES OF ACTION

1. **Pursue PACTS Software Conversion and Project Funding.** The Umbrella Group anticipates adapting Unix-PACTS to a DOS and network environment will expedite PACTS deployment to all districts, while being more cost effective. The PACTS Subgroup of this Umbrella Group will continue to provide input.
2. **Pursue Implementation of National Fines Center.** The AO recently defined revised priorities to expedite project implementation while meeting statutory requirements. The Fines Center Subgroup of this Umbrella Group will continue to provide input.
3. **Monitor Implications of NCIC 2000 Project.** Equipment requirements defined by the NCIC 2000 Project are not known at this time. Developments will be monitored since these may result in significantly increased funding needs. Utilization of the DCN to increase access to these systems also is to be investigated.

4. **Investigate new technologies.** Various remote access and handwriting recognition devices may be of particular value to officers.

I. APPROVED AUTOMATION PROJECTS

1. **Probation and Pretrial Services Automated Case Tracking System (PACTS-Unix and DOS)** - PACTS is a Unix/Unify-based business system, with software conversion to DOS in progress, designed to track cases from the pretrial services starting point through expiration of post-disposition supervision. A component of the PACTS project is cyclical replacement of aging computer equipment. Contact: Timothy P. Cadigan (202) 273-1620
2. **Access to Law Enforcement Databases** - This project provides for the placement of equipment in probation and pretrial services offices, along with payment of various fees, permitting access to various national and local law enforcement and court databases for retrieval of defendant/offender arrest, "wanted," and disposition information. Contact: Rick Ransom (202) 273-1620
3. **National Fines Center (FCS)** - A component has been development of a judgment and commitment (J&C) system, which has been temporarily suspended to focus on FCS. A separate user group devoted to automated J&C issues is being formed with member appointments expected by December 1993. Contact: John Hehman (202) 273-3531
4. **National PC-Applications for Probation and Pretrial Services** - To date three national PC applications have been developed jointly by the Probation and Pretrial Services Division and district offices; a module for home confinement cases is in progress. This project does not require resources from the Automation Fund. Contact: Jackie Kossin (202) 273-1620

J. RESOURCES FOR THIS UMBRELLA GROUP (\$000)

<i>Project</i>	<i>FY 94</i>	<i>FY 95</i>	<i>FY 96</i>	<i>FY 97</i>	<i>FY 98</i>
PACTS Unix and DOS	2238.8	3151.0	4368.1	4564.7	3514.7
PACTS Cyclical Replacement	199.1	238.0	58.0	0.0	0.0
Access to Law Enforcement Systems	978.6	1223.0	1500.0	1700.0	2000.0
National PACTS	0.0	0.0	250.0	50.0	0.0
National PC Applications	0.0	0.0	0.0	0.0	0.0
Barcoded Specimen Tracking	0.0	0.0	300.0	300.0	0.0
Image Processing/Offender ID	0.0	0.0	300.0	300.0	0.0
Umbrella/Subgroup Travel	48.0	50.0	70.0	75.0	75.0
Fines Center/J&C System*	5000.0	6200.0	6000.5	3000.0	3000.0

*Non-Automation Fund

K. UNAPPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASE 0)

The Probation and Pretrial Services Case Management and Statistics Umbrella Group is examining the utility of packet transmission systems that provide access to databases from field locations, personal digital assistant or pen-based computers and "territorial management" software. The assistance of the Technology Enhancement Office has been requested in identifying and preliminarily evaluating these programs that would be used by probation and pretrial services officers in performing their duties.

SUPPORT AND EDUCATION UMBRELLA GROUP

A. SCOPE

The purpose of the Support and Education Umbrella Group is to identify, validate, and prioritize user needs for training and support, to promote activities to meet those needs, and to foster the effective use of automation products and services. Training includes all educational activities necessary to ensure the successful implementation and use of applications and systems software as well as hardware. Support includes services related to the implementation, maintenance, and ongoing operations of applications and systems software and hardware. This group has responsibility for the support and education needs identified by all Umbrella Groups.

B. CURRENT STATUS

The Support and Education Umbrella Group addresses activities in two distinct areas:

1. **Cross Functional:** The status of automation training and user support in the judiciary was reviewed by the three consultants who conducted the Judiciary Automation Program Review. Their report of April 1991 made two explicit and several implicit recommendations with respect to support. The April 1992 report of the McCarthy-Greacen Project Team contained eight recommendations regarding support. The Augustyn Task Force in the Spring of 1992 identified the need for an overview umbrella group to take a view across functional areas and establish a strategy for improving the quality and methods for support delivery systems. According to the McCarthy-Greacen report, approximately 1,200 support staff positions were deployed in the judiciary in fiscal year 1992. In addition, local court managers, at their own discretion, are redeploying existing staff to automation support functions.
2. **IRM Central:** In October 1992, the Director of the Administrative Office announced the implementation of a refined management system for Information Resources Management (IRM) that includes eleven major elements and flows. IRM Central includes activities performed centrally by the Assistant Director for Automation and Technology and his IRM organization in support of the automation program. Over the past year, the Assistant Director has initiated a broad spectrum of IRM Central activities aimed at improving the quality and timeliness of products and services delivered to the courts. These activities include the development of a comprehensive IRM services program that addresses the need for IRM standards and guidelines, acquisition services, project management services, quality assurance, data security, data administration, architecture, configuration management, planning, budgeting, and technology assessment.

C. VISION FOR THE FUTURE

To achieve on a cross-functional basis high quality, cost-effective, and consistent automation education, training, and user support for all automation related activities with more direct training and support centered in the courts.

D. TOP TWO/FOUR MAJOR STRENGTHS

1. There is a growing number of court managers and staff who are users of the national applications willing to participate actively in the refinement of the education, training, and support processes.
2. There is a growing core of computer knowledgeable systems people in the courts with the skill level needed to implement changes in the training and support structure.
3. Liaisons have been identified for each Umbrella Group to facilitate cross-functional coordination of support and education issues.

E. TOP TWO/FOUR MAJOR PROBLEMS AND INHIBITORS

1. Minimal levels of support do not exist to implement the vision, and no means exist for securing critical exceptions for hiring technical personnel outside the staffing formula.
2. Inconsistencies in education and support responsibilities at all levels; inharmonious methods of providing automation training, user support, and application expertise; no cohesive automation training and user support strategy covering all areas of automation.
3. Lack of national guidelines or standards for use by product development teams (e.g., no user manual format standards, courseware guidelines, or computer-aided instruction tools).
4. Lack of funding for the delivery of support and education services.

F. TOP TWO/FOUR MAJOR OPPORTUNITIES

To permit the judiciary to maximize the full potential return on its investment in the automation program, consideration should be given to placing a high priority on:

1. Resolving problems which have been identified in Section E (Top Two/Four Major Problems and Inhibitors).

2. Exploring alternate methods of delivering end-user and technical education, training, and support.
3. Strengthening the partnership between the Administrative Office, the training centers, and the courts.
4. Creating user groups of the Umbrella Groups which can focus on the needs of users.

G. TOP MAJOR ISSUES

1. Role of the Umbrella Group liaisons and the process of accomplishing cross-functional coordination.
2. Role of the Administrative Office, Training Centers, and the courts in providing training and support.

H. TWO/FOUR MAIN COURSES OF ACTION AND PRIORITIES

1. Identify projects, develop a Mission Needs Statement for each project, and prepare spending plans and budget requests for each project.
2. Decide on the number and composition of user groups and assign projects to each group.
3. Update annually functional strategy statements and oversee development of annual product updates for each project.
4. Maintain a liaison relationship with each of the other Umbrella Groups.

I. APPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASES 1-5)

1. CROSS-FUNCTIONAL

a. Develop Alternative Training Methods

- (1) Experimental Computer-Based Training (CBT) will develop an interactive CBT overview of an Integrated Case Management System (ICMS) application.

2. IRM CENTRAL

- a. **Systems Administrator Training and Support** provides systems administrator training and advanced user support to court personnel using nationally supported systems.
- b. **Space Rental and Overtime Utilities for Computer rooms** provides space rental and overtime utilities services to courts maintaining computer rooms for centrally supported systems.
- c. **Micrographic Services in the Courts** provide Computer Output Microfiche services to courts using centrally supported systems.
- d. **Expert Services - Management** provide central support for IRM education, training, and marketing services including projects such as IRM News, IRM Magazine, and Project Management Cost Tracking.
- e. **Expert Services - Acquisition** provide central support for Federal information processing acquisition services.
- f. **Judiciary Central Processing System** provides central processing services to the courts for personnel, payroll, financial and statistical applications.
- g. **Technology Assessment Projects** provide support for technology assessment efforts being undertaken centrally on behalf of the courts.
- h. **Expert Services - Programming** provide hot-line user support and programming services for centrally supported systems.
- i. **Architecture** analyzes current and projected requirements for architecture standards or guidelines for judiciary automation and will develop some potential technical solutions.
- j. **Data Administration** develops standards to be used as the basis for future systems.
- k. **Computer Security** develops policies and procedures for implementing a judiciary computer security program.
- l. **Quality Assurance Metrics** develop a quality assurance program for the judiciary that includes testing the products that the developers have declared ready for use.

- m. **Software Process Assessment** develop a baseline standard for software development in the judiciary.

J. RESOURCES FOR THIS UMBRELLA GROUP (\$000)

CROSS-FUNCTIONAL

<i>Project</i>	<i>FY 94</i>	<i>FY 95</i>	<i>FY 96</i>	<i>FY 97</i>	<i>FY 98</i>	<i>FY 99</i>
Clearinghouse/Communications	48.8	3.1	3.2	5.3	5.3	5.7
Prioritized Reqmts for Support/Education	0.0	0.0	0.0	0.0	0.0	0.0
Optimize Training and Support Centers	58.6	60.0	63.8	65.8	67.8	69.9
Develop Alternate Training Methodologies	126.9	236.1	327.0	108.5	122.2	126.0
Umbrella Group Meetings	42.0	42.0	39.3	65.8	67.8	69.9
Systems Manager Conference	173.0	276.8	342.1	352.7	363.6	374.9

IRM CENTRAL

<i>Project</i>	<i>FY 94</i>	<i>FY 95</i>	<i>FY 96</i>	<i>FY 97</i>	<i>FY 98</i>	<i>FY 99</i>
Computer Security	97.6	100.0	100.0	100.0	100.0	100.0
Quality Assurance Metrics	97.6	100.0	100.0	100.0	100.0	100.0
Data Administration	4.9	5.0	5.0	5.0	5.0	5.0
Architecture	9.8	10.0	10.0	10.0	10.0	10.0
Judicial Central Processing System	2,243.2	2,491.3	2,591.3	2,504.3	2,504.3	2,504.3
Software Process Assessment	0.0	50.0	50.0	50.0	50.0	50.0
Technology Assessment	585.6	550.0	1,700.0	1,700.0	1,700.0	1,700.0
Micrographics	152.0	200.0	200.0	200.0	200.0	200.0
Systems Administrator Training/Support	24.4	25.0	75.0	75.0	75.0	75.0
Space Rental/Utilities	2,489.7	2,630.0	3,391.0	3,617.0	3,617.0	3,617.0
Expert Services — Acquisition	292.8	300.0	400.0	400.0	400.0	400.0
Expert Services - Programming	976.0	1,000.0	3,500.0	2,000.0	1,000.0	500.0
Expert Services - Management	223.4	100.0	100.0	100.0	100.0	100.0
Director's Automation Planning Council	11.0	25.0	10.3	0.0	0.0	0.0
Electronic Document Processing	0.0	0.0	1,000.0	1,000.0	1,000.0	1,000.0

K. UNAPPROVED AUTOMATION PROJECTS (LIFE CYCLE MGT PHASE 0)

1. CROSS-FUNCTIONAL

a. Optimize Training and Support Centers

- (1) Training Center Call Log Project will analyze the approximately 2,000 monthly calls to the training centers to determine appropriate "adjustments" to the system that will result in fewer calls to the support centers and more self-sufficiency in each court's system staff.

Support and Education Umbrella Group

- (2) **User Support Standardization** will enable the training and support centers to employ a uniform method of tracking support calls for improved service.
 - (3) **Support Documentation Manuals** will standardize documentation used by support centers and end-users.
- b. **Develop Alternative Training Methodologies** will focus on ways to identify, develop, and deliver end-user and technical training in less costly but equally effective ways.
- c. **Clearinghouse/Communications with Systems Managers** will identify ways to improve sharing IRM information among interested parties and establish mechanism for providing wide access to existing and planned electronic bulletin boards.
- d. **The Ad Hoc Study for Prioritized Requirements for Support and Education** will identify prioritized requirements and recommendations concerning elimination of redundancies, consolidation of efforts, and decentralization of support and education services provided by the Administrative Office, the training centers, and the courts. This study will be conducted in coordination with the appropriate organizations within the Office of Automation and Technology, the centers, and the various Umbrella Groups.
- e. **Configuration Management Study** will focus on ways to develop mechanisms to determine a court's hardware capacity requirements to avoid insufficient processing resources.

2. IRM CENTRAL

- a. **Software Development Environment** will provide a systems development methodology and associated automated tools to be used in the development and maintenance of all COSD-supported applications. These applications will be easier to maintain, quicker to develop, and require fewer resources to develop and maintain.

END

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